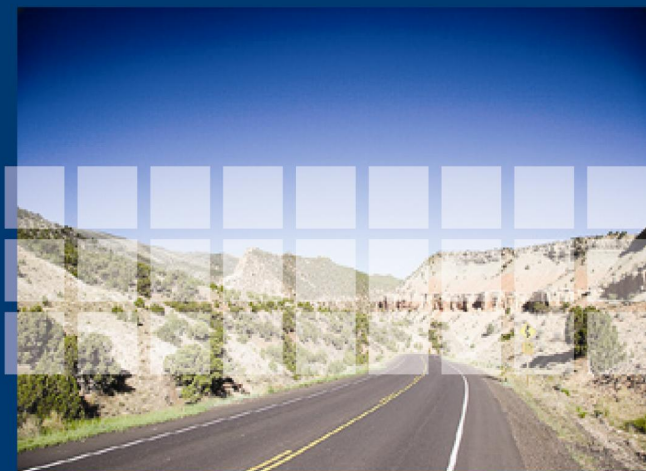
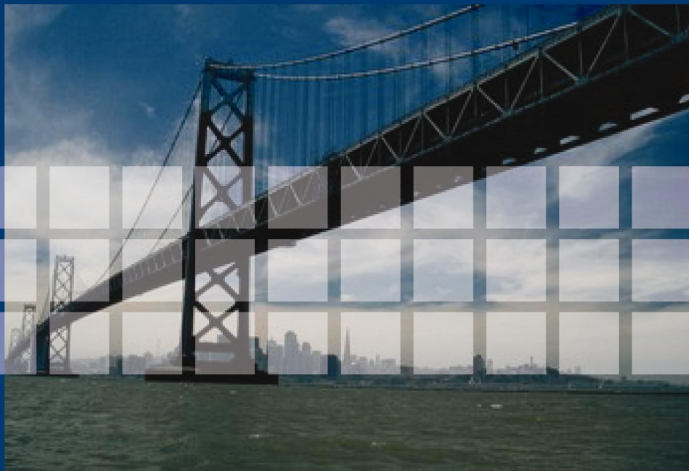


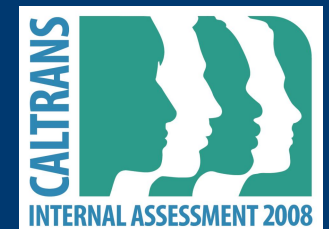
# MERCER



MARSH MERCER KROLL  
GUY CARPENTER OLIVER WYMAN



## Caltrans 2008 Internal Assessment District 72 Transportation Systems Information Report



July 30, 2009

# 2008 Internal Assessment Table of Contents

<b>Table of Contents</b>	<b>Page</b>
▪ Executive Summary_____	2
▪ Introduction_____	16
▪ Methodology_____	19
▪ Category Results_____	33
▪ Key Question Results_____	37
▪ Normative Comparison_____	45
▪ Internal Comparisons_____	51
▪ Key Drivers of Employee Engagement_____	61
▪ Open-Ended Responses_____	69
▪ Summary Recommendations and Next Steps_____	72
▪ Appendices	
A. Survey Instrument_____	88
B. Questions by Category with Comparisons_____	97
C. All Open-Ended Responses (available in a separate report due to volume)_____	120
D. Comparison of US Overall and Public Sector Norms_____	121



# Executive Summary

The following section provides a high-level overview of the elements of this report: the Introduction, Methodology, Category Results, Key Question Results, Normative Comparison, Internal Comparisons, Key Drivers of Employee Engagement, Open-Ended Responses, Summary Recommendations, and Next Steps.

# Executive Summary

## Introduction & Methodology

### Introduction

- To assess its organizational health, identify ways to improve, and make Caltrans the workplace of choice, Caltrans conducts surveys of its stakeholders (partner organizations and the general public) and employees in alternating years. Most recently, Caltrans has conducted employee surveys in 1999, 2002, and 2006. The results and analyses of those surveys established key performance measures and baseline data for tracking the Department's organizational climate over time. Following the 2006 survey, each district began implementing efforts to address areas in need of improvement. A report of those efforts is posted on the Caltrans Intranet site, Onramp.
- This report describes Caltrans' most recent survey, the Caltrans 2008 Internal Assessment (employee survey), which was administered by Mercer. The 2008 employee survey was designed to:
  - Determine the Department's overall organizational health by analyzing key questions and categories.
  - Measure the Department's progress over time by comparing 2008 results with the 1999, 2002, and 2006 employee survey results.
  - Build upon Caltrans' past surveys to assess the impact of district efforts on the Department's organizational health.
  - Measure job satisfaction differences between Caltrans employees and other US workers by comparing Caltrans' survey results with those from a normative database of comparable survey data, both public sector and US workers overall (public and private sectors combined).
  - Note areas in which the Department has strength, as well as potential areas for improvement.
  - Guide the Department's efforts to improve Caltrans as a workplace of choice. The districts will receive additional support in their survey follow-up efforts, including communication, action-planning, and action implementation, in order to promote and guide the Department's continuing efforts to improve.

### Methodology

- The survey project is sponsored by Randy Iwasaki, Chief Deputy Director, led by Debbie Mah, Chief, Office of Strategic Planning and Performance Measurement (OSPPM), and managed by Lenée Selman, Research Analyst, OSPPM. A 2008 employee survey steering committee was formed to direct and guide the department-wide employee survey to a successful conclusion. The Committee includes 12 members who represent a cross-section of the department and it is authorized to direct the 2008 survey follow-up activities, within Mercer's scope of work. The Committee's recommendations will be forwarded for final approval of the Director.

# Executive Summary

## Methodology

### Methodology (continued)

- Two new practices were introduced to the survey administration process in 2008:
  - A survey coordinator network was established to act as primary resources for the survey administration. One-hundred staff volunteered to be survey coordinators. Each district had between one and 16 coordinators depending on its size.
  - Staff who received a paper survey booklet also received a pass code, which they could use to log in and complete the survey online if they preferred.
- The survey was administered from December 8, 2008 through January 12, 2009. All Caltrans employees, including all full-time and part-time employees, student assistants, permanent intermittents, and retired annuitants, were given the opportunity to participate during work hours. For employees with access to the Caltrans e-mail system, online access to the survey was initiated through an e-mail invitation. Paper survey booklets were distributed to Division of Equipment staff, and maintenance staff in Districts 01 through 12.
- The Department overall participation rate was 72 percent with 16,263 employees submitting a survey either online or with a paper survey booklet. For District 72 Transportation Systems Information, the response rate was 67 percent with 46 employees submitting a survey online or on paper.
- The survey contained 75 closed-ended (e.g., “agree/disagree”) questions that covered 15 topic areas. The number of survey questions was decreased from a total of 104 questions in the 2006 survey. This was done to remove some redundancy, remove the least useful questions, and shorten the length of time required to complete the survey. There were also two open-ended questions that respondents could answer in their own words by writing or typing a response. Eight demographic questions were included for segmentation purposes. Fifty-five of the 75 questions are comparable to questions in the 2006 survey, 38 are comparable to 2002 survey questions, and 30 are comparable to 1999 survey questions. Twenty-seven questions are comparable across all four iterations of the survey. In addition, 35 questions are comparable to an external benchmark of employee opinion provided by Mercer. The benchmark contains responses from employees in government and public-sector organizations.

# Executive Summary Methodology

## Methodology (continued)

- The 15 topic areas, referred to as “categories,” covered in the survey are nearly the same as those used in 2006. This was done to maintain consistency between years and aid interpretation and follow through efforts. There are only two exceptions. First, the category formerly called Caltrans Management has been combined together with “District/Headquarters Management.” Second, the category formerly called Goals & Objectives is now part of “Mission/Vision, Goals, & Values.” The 15 categories are listed below. Technical details of how the survey was conducted are provided in the Methodology section of this report.

- |                                       |                                    |
|---------------------------------------|------------------------------------|
| 1. Ability To Get The Job Done        | 9. Mission/Vision, Goals, & Values |
| 2. About The Survey Process           | 10. Organization Effectiveness     |
| 3. Cooperation & Teamwork             | 11. Physical Working Conditions    |
| 4. Directorate & Executive Management | 12. Quality & Customer Focus       |
| 5. District/Headquarters Management   | 13. The Job Itself                 |
| 6. Empowerment & Innovation           | 14. Training & Career Development  |
| 7. Engagement & Support for Success   | 15. Treatment & Equity             |
| 8. Immediate Supervision              |                                    |

# Executive Summary

## Category and Key Question Results

### Category Results

- Each category included two to ten questions, and category scores are simple averages of the question scores included in the category. Across the 15 categories, favorable scores ranged from a high of 83 percent to a low of 44 percent.
- Overall, Transportation Systems Information employees are favorable about the physical working conditions (e.g., safety), engagement on the job, Caltrans' mission/vision, and the job itself. They view how management uses the survey results, their ability to be empowered on the job, and the fairness of how employees are treated less favorably.
- When analyzing results at the category level, it is important to keep in mind that scores are averages, and individual question scores may vary significantly within a category; individual question results for each category are reported in Appendix B of this report.

### Key Question Results

- The most favorably rated questions were in the categories of "Mission/Vision, Goals, & Values" and "Engagement & Support for Success." The identification of these categories among District 72 Transportation Systems Information employees indicates that employees identify with Caltrans' mission/vision, are engaged on the job, and are willing to expend extra effort to help the Department succeed. The two safety-related questions also surfaced in the top ten most favorable.
- While the bottom ten questions were varied, two questions in the "Organization Effectiveness" category were the two least favorable questions. Attraction and retention of high quality employees, performance management, opportunities for advancement, and decision-making figured among the bottom ten questions.
- Questions regarding Caltrans' reputation and values scored significantly higher than in the Department overall.
- District 72 Transportation Systems Information employees are generally less favorable regarding their immediate supervisors, rating them significantly lower on four questions than Caltrans overall. Other questions surfacing in the top ten compared to Department tended to be from the categories "Cooperation & Teamwork" and "Ability to Get the Job Done."

# Executive Summary

## External Benchmark Analysis

### Results Compared to Norm

- Caltrans results were compared to an external normative benchmark (“norm”) on 35 comparable questions. Mercer’s norm comprises a statistically valid random sample of working adults in the U.S. Approximately 12 percent of the sample are people working in government (national, state, or local) or public sector organizations. Detailed question-level comparison is provided for this public sector respondent segment of the norm.
- District 72 Transportation Systems Information respondents were significantly above the norm on 11 percent of benchmarked questions and significantly below the norm on 6 percent. There were no statistical differences on 83 percent of benchmarked questions.
- Questions asking about District 72 Transportation Systems Information employees’ perception of management made up the majority of the top 10 comparable questions.
- District 72 Transportation Systems Information employees provided ratings above norm on four questions, focused primarily on perceptions of local and executive management, Caltrans’ values, and being willing to go beyond job requirements to help Caltrans succeed.
- Only two questions scored significantly below norm. These questions concern “The Job Itself” and “Ability to Get the Job Done.” About half (53 percent) agreed that the information needed to do the job is readily available (23 percent below norm). While roughly two-thirds (65 percent) feel their job is challenging and interesting, this score fell 14 percent below the norm.

# Executive Summary

## Internal Comparisons & Employee Engagement Analysis

### Internal Comparisons

- There were no statistically significant differences among the various segments of District 72. Some comparisons are not reported because segments contained fewer than 10 respondents.

### Employee Engagement and Key Drivers of Engagement

- Improving the level of employee engagement is important. Employee engagement levels are linked to important organizational outcomes including employee retention, safety practices, attention to quality, customer service, and overall productivity and profitability. In fact, the research evidence suggests that higher levels of engagement can drive improvement on these outcomes.
- “Engagement” is often defined by some or all of the following attitudes and behaviors:
  - “Going the extra mile” when necessary, applying discretionary effort and creative energy in one’s work.
  - Remaining with the organization; not actively seeking employment opportunities outside.
  - Performing one’s job to the highest standards; showing personal motivation.
  - Expressing pride in working for the organization, and/or refraining from non-specific non-constructive criticism of the organization.
  - Feeling a sense of mutual purpose between personal and organization goals (i.e., “alignment”); feeling a vested interest in the organization’s success, not just one’s own success.
  - Feeling that one’s personal and professional goals can be achieved in the organization.

# Executive Summary

## Employee Engagement Analysis

### Employee Engagement and Key Drivers of Engagement (continued)

- An advanced statistical procedure called “Factor Analysis” was used to determine which questions best group together to form an “index” of employee engagement at Caltrans. Based on Mercer’s analysis, the five questions that best form an engagement index are:
  - 55. My job provides me the opportunity to do interesting and challenging work.
  - 68. I am satisfied with my current position within Caltrans.
  - 69. I would recommend Caltrans to others as a good place to work.
  - 70. I am willing to go beyond the requirements of my job to help Caltrans succeed.
  - 71. I feel proud to work for Caltrans.
- Once the engagement index was established, another advanced statistical procedure was applied to determine which other questions in the survey (i.e., questions that do not make up the index) have the strongest relationship with the engagement index. This procedure, called multiple regression analysis, reveals the questions that best predict future outcomes for the index score.
- The questions that result from the analysis are termed “key drivers” because as employee perceptions on these questions change, the engagement index is likely to change as well, and the direction of the change should be parallel. In other words, more favorable opinions on key driver questions should result in more favorable opinions on the engagement index, and vice-versa.
- Current scores on key driver questions may be relatively favorable or unfavorable. Because of the strong relationship they have with the engagement index, action planning that addresses the behaviors and attitudes reflected in the driver questions should produce the best results in improving employee engagement.
- In the case where a given key driver question is highly favorable, the goal should be to implement follow-up actions that will maintain it as a strength. In cases where a key driver question score is average or unfavorable, the goal should be to improve in that area with follow up action.

# Executive Summary

## Employee Engagement Analysis

### Employee Engagement and Key Drivers of Engagement (continued)

- Five questions surfaced as the most important drivers of engagement at Caltrans. Changes in employee perception on these five questions best predict changes in the Engagement Index. These questions should be considered when prioritizing issues and potential action plans.
- Considering the themes that these questions represent, Caltrans' employees are most engaged when they believe they can grow and develop professionally (question 47), when they understand how they make a contribution to Caltrans' goals and help fulfill the Mission and Vision (questions 56 and 17), and when they perceive that Caltrans treats its partners like customers and strives for excellence overall (questions 43 and 1).
  - 47. I believe I have the opportunity for professional growth and development.
  - 56. I have a clear understanding of how my work contributes to achieving Caltrans' goals.
  - 1. Caltrans strives for excellence.
  - 43. In my opinion, Caltrans truly is customer-oriented with its partners.
  - 17. I feel that my work helps Caltrans fulfill its Mission/Vision.
- District 72 Transportation Systems Information may consider the following suggestions for how the key driver analysis can be leveraged to develop survey follow-up action plans:
  - Seek to maintain employee perceptions that Caltrans strives for excellence (question 1), as the favorable score is good and on par with the Department overall.
  - Seek to improve or maintain employee reactions to the organizational mission/vision and goals (questions 17 and 56); although the favorable scores are generally high, they are significantly below (question 56) and on par with (question 17) the Department overall.
  - Consider action plans that seek to improve opportunities for growth and development (question 47). Although the current score is on par with the benchmark for public sector employees, advancement opportunities or a lack thereof is a driver of voluntary turnover for many organizations. Further improvement could help retain employees, especially high performers and those with critical, hard to find skills.
  - Consider action plans that will improve perceptions on customer orientation, as one-quarter of District 72 employees expressed neutral views on this topic, with about two-thirds favorable.

# Executive Summary

## Open-Ended Comments

### Open-Ended Questions

- Respondents were given the opportunity to respond to two comment questions. For the first comment question, respondents chose a topic for their comment. The topic list was the same as the survey category names with the addition of “Other” as an option. The frequency of comments written about each topic by District 72 Transportation Systems Information employees is reported in the table below. The complete list of comments are listed in Appendix C.

76. Reflecting on what you wrote above, which of the following best describes the topic of your comment.	
Topic	Percentage
Other	20%
Ability To Get The Job Done	14%
Treatment & Equity	11%
Organization Effectiveness	11%
Engagement & Support for Success	11%
Quality & Customer Service	9%
Cooperation & Teamwork	6%
The Job Itself	3%
Physical Working Conditions	3%
Mission/Vision, Goals, & Values	3%
Immediate Supervision	3%
Empowerment & Innovation	3%
District/Headquarters Management	3%
Training & Career Development	0%
Directorate & Executive Management	0%
About The Survey Process	0%
Total	100%

- Responses to the second open-ended question, regarding changes that could be made to streamline workloads and/or reduce costs, are also listed in Appendix C.

# Executive Summary

## Summary Recommendations

### Strengths and Challenges

- Caltrans' 2008 Internal Assessment provides a robust data set that will be studied further and used to help create follow up action plans that will seek to improve organizational effectiveness and alignment of people practices with strategic goals. Mercer's analysis suggests the following sorting of survey topical areas into "areas of strength," "areas of challenge," and areas of "mixed strengths and challenges." Important to note is that consideration for areas to address with follow up action plans should not be restricted only to areas of challenge, or areas with a mixture of strengths and challenges. It is just as important to ensure that the strengths of Caltrans are emphasized and maintained, especially in as much as these areas are critical to the success of the strategic plan moving forward.
- Also important to remember are questions that are key drivers of engagement for Caltrans' staff. The result of the statistical analysis is that these questions have the strongest relationship to how engaged employees are with their work and with the organization overall. Putting emphasis on these areas may yield the greatest improvement, and maintain strength where it already exists, in the various facets that make up the concept of engagement at Caltrans.
- Areas of Strength
  - "Physical Working Conditions" – this was the top-rated category, with 83 percent of District 72 Transportation Systems Information employees providing high marks, on average. Both safety-related questions surfaced in the top ten most favorable (both more than 90 percent favorable), with the safety of the work area rated significantly above Department overall levels.
  - "Mission/Vision, Goals, & Values" – another higher-rated category, with three-quarters favorable, ratings in this area were fairly wide in range (50 percent to 95 percent favorable. The clarity of organizational values was rated significantly above both normative and Department overall levels, while the lowest rated in the category, management acting in accordance with the values (50 percent favorable), was still directionally above the norm (12 percent above; not statistically significant). Although understanding how their work contributes to organizational goals was rated statistically below Caltrans overall levels, the rating was still high at 72 percent.
  - "Engagement & Support for Success" – four-fifths of Transportation Systems Information employees gave favorable marks to questions in this category, on average. Three of these questions surfaced in the top ten most favorable, and willingness to go beyond job requirements scored significantly above the PS norm. The Engagement Index was on par with both the PS norm and the Department overall.

# Executive Summary

## Summary Recommendations

### Strengths and Challenges (continued)

#### ■ Areas of Challenge

- “Ability to Get the Job Done” – approximately one in four District 72 Transportation Systems Information respondents are not satisfied with this category, on average across questions (54 percent favorable, on average). Availability of the information needed to do the job was rated significantly below normative levels (23 percent below), and the number of approvals required for routine decisions scored statistically below Caltrans overall.
- “Empowerment and Innovation” – this category scored lower than others, with only 44 percent favorability. Three out of the four questions made the top ten most unfavorable list, and all four received less than 50 percent favorability. This area clearly has room for improvement.
- “Treatment & Equity” – this category also scored lower than others (44 percent favorable), and nearly half of District 72 employees disagreed with the statement, “Poor performance usually is not tolerated in Caltrans.”
- “Organization Effectiveness” – there was a wide range of ratings in this category, across questions, ranging from 25 percent to 73 percent favorable, but the average of 52 percent favorable is fairly low. Particularly low ratings were provided for promoting qualified employees and attracting/retaining quality talent. Similarly, ratings from the “Training & Career Development” category regarding promotion were also fairly low, suggesting an increased focus on quality talent may improve the organization.
- “Immediate Supervision” – four of the ten questions in this category were rated significantly below the Department overall and headquarters districts overall scores.
- “Cooperation & Teamwork” – only 52 percent of District 72 employees gave positive marks to this category on average. Cooperation between the work units and other work units in the division or district, as well as efficiency of the work unit, were rated significantly below Department overall levels.
- “About the Survey Process” – approximately half of District 72 Transportation Systems Information respondents expressed uncertainty as to whether the last survey results were used constructively. It is more promising that the score for this current survey was higher, at 55 percent favorable (with 29 percent neutral, or uncertain), but this score is still considered low. A well-defined survey follow-up plan is always a potential “quick win.” In addition, as action areas are prioritized and action plans are implemented, additional “return on investment” from the survey can be realized by communicating changes to all employees and linking it to their feedback on the survey. In the following pages, we describe the process that Caltrans will use to prioritize and plan follow-up actions from the 2008 survey results.

# Executive Summary

## Summary Recommendations

### Strengths and Challenges (continued)

- Mixed Strengths and Challenges
  - “The Job Itself” – District 72 Transportation Systems Information employees gave ratings of 70 percent favorable, on average, which is generally a high score. However, the question about the job providing interesting work was rated significantly below the PS norm, as well as significantly below internal peer groups – Caltrans, headquarters districts, and Planning & Modal Programs deputy area overall.
  - Management – ratings in the two categories “Directorate & Executive Management” and “District/Headquarters Management” were generally mediocre, though the directorate having a clear vision for the future and the second-level supervisor providing recognition for good work both scored significantly above the PS norm.

# Executive Summary

## Next Steps

### Next Steps

- Using the results, conclusions, and recommendations stemming from the employee survey, Mercer will work with Caltrans to develop strategies for Department-wide and district-wide follow-up actions to address the survey findings.
- The overall process will include the following:
  - Prioritization Workshop
    - Senior leadership reviews results and sets course for Department-wide follow up priorities
    - To take place in mid June
  - Briefing Webinars
    - District heads briefed on workshop outcome, set course at district level
    - To be held before end June
  - Action Planning Workshops
    - District representatives spearhead follow up actions
    - To be held in July
  - Topic-Focused Workgroups
    - District representatives share and compare survey follow-up ideas for “cross-pollination” Department-wide
    - Timing to be determined in consultation with the steering committee.



# Introduction

The following section provides an introduction to the purpose and goals of the 2008 employee survey, the reports that will be created, and the follow up activities planned.

# Introduction

- The mission/vision of the California Department of Transportation (“Caltrans” or “Department”) is to improve mobility across California. Caltrans is the owner/operator of the California State Highway System comprising over 15,000 miles of roads. Caltrans also is the agent of the federal government in terms of administering federal transportation funds. Caltrans' functions include: transportation planning, right of way acquisition, environmental planning, design, construction, and maintenance and operations. At the time of this survey, 22,581 individuals were working for Caltrans, the majority in engineering or highway maintenance work.
- To assess its organizational health, identify ways to improve, and make Caltrans the workplace of choice, Caltrans conducts surveys of its stakeholders (partner organizations, the general public) and employees in alternating years. Most recently, Caltrans has conducted employee surveys in 1999, 2002, and 2006. The results and analyses of those surveys established key performance measures and baseline data for tracking the Department's organizational climate over time. Following the 2006 survey, each district began implementing efforts to address areas in need of improvement. A report of those efforts is posted on the Caltrans Intranet site, Onramp.
- This report describes Caltrans’ most recent survey, the Caltrans 2008 Internal Assessment (employee survey), which was administered by Mercer. The 2008 employee survey was designed to:
  - Determine the Department’s overall organizational health by analyzing key questions and categories.
  - Measure the Department’s progress over time by comparing 2008 results with the 1999, 2002, and 2006 employee survey results.
  - Build upon Caltrans’ past surveys to assess the impact of district efforts on the Department’s organizational health.
  - Measure job satisfaction differences between Caltrans employees and other US workers by comparing Caltrans’ survey results with those from a normative database of comparable survey data, both public sector and US workers overall (public and private sectors combined).
  - Note areas in which the Department has strength, as well as potential areas for improvement.
  - Guide the Department’s efforts to improve Caltrans as a workplace of choice. The districts will receive additional support in their survey follow-up efforts, including communication, action-planning, and action implementation, in order to promote and guide the Department’s continuing efforts to improve.

# Introduction

- The 2008 survey data collection, data analysis, and report writing were conducted by Mercer. In total, there are 51 survey reports:
  - 1 Department-wide report
  - 12 deputy-level reports
  - 12 field district reports (Districts 1-12)
  - 24 headquarters district reports
  - 1 all headquarters districts report
  - 1 all field districts report
  
- Unique to the 2008 survey was that guidance on implementing follow-up activities became a formal component of the survey project, and was included as a deliverable from the survey contractor, Mercer. Those activities have been scheduled to begin after the data reports have been released.



# Methodology

The following section provides information regarding the survey methodology, including: steering committee direction and oversight, survey participation, survey content, survey scales, and survey analysis.

# Methodology

## Survey Steering Committee

### Direction and Oversight

- The 2008 employee survey steering committee (committee) was chartered to provide guidance and feedback on the survey and follow up activities within Mercer's scope of work, and to make recommendations to the Director.

### 2008 Employee Survey Committee Members

<b>Sponsor:</b>	Randy Iwasaki, <i>Chief Deputy Director</i>
<b>Lead:</b>	Debbie Mah, <i>Chief, Office of Strategic Planning and Performance Measurement (OSPPM)</i>
<b>Project Manager:</b>	Lenée Selman, <i>Research Analyst, OSPPM</i>
<b>Contractor:</b>	Mercer (Norman Ramion, Bess Tschantz-Hahn, Stacey Bearden, Nicole Matheny)
<b>Members:</b>	<p>Marcela Anderson, <i>Training Coordinator, District 10</i></p> <p>Sri Balasubramanian, <i>Chief of Staff, Director's Office</i></p> <p>Mark DeSio, <i>Deputy Director, Division of External Affairs</i></p> <p>Lori Dosty, <i>Secretary, Division of Transportation Systems Information</i></p> <p>Deborah Harris, <i>Chief, Public Affairs and Media Relations, District 7</i></p> <p>Shannon Post, <i>Chief, Bridge Design Central, Division of Engineering Services</i></p> <p>Teresa Rix, <i>Acting Deputy District Director, District 6</i></p> <p>Rick Schneider, <i>Chief, Learning and Development Office, Division of Workforce Planning and Development</i></p> <p>Steve Takigawa, <i>Chief, Division of Maintenance</i></p> <p>Tony Tavares, <i>District Director (Interim), District 10</i></p> <p>Cheryl Willis, <i>Deputy District Director, Planning, District 01</i></p> <p>Jan Winbigler, <i>Chief, Strategic and Business Planning Branch, Division of Traffic Operations</i></p>

# Methodology

## Survey Administration and Participation

### Survey Administration

- Two new practices were introduced to the survey administration process in 2008 – the development of a survey coordinator network and offering online access to the survey to all employees.
  - The mission of the coordinator network was to have a group of staff acting as primary resources for the survey administration. They acted as liaisons to the project manager, answered questions, marketed the survey and assisted with survey distribution. One-hundred staff volunteered to be survey coordinators. Each district had between one and 16 coordinators depending on its size.
  - Staff who received a paper survey booklet also received a pass code, which they could use to log in and complete the survey online if they preferred.
- The survey was administered from December 8, 2008 through January 12, 2009. All Caltrans employees, including all full-time and part-time employees, student assistants, permanent intermittents, and retired annuitants, were given the opportunity to participate during work hours. For employees with access to the Caltrans e-mail system, online access to the survey was initiated through an e-mail invitation. Paper survey booklets were distributed to Division of Equipment employees, and maintenance employees in Districts 01 through 12.
- According to the original project plan the survey administration was to last two weeks and complete just before Christmas. However, survey administration began slowly due to a technical problem. Although prior testing did not discover the problem, the Caltrans firewall delayed delivery of survey invitation e-mails for the first three days of administration. In view of this technical challenge, and due to the holiday period, administration was extended twice and completed on January 12<sup>th</sup>.

# Methodology Survey Participation

## Department Overall Response Rates

- The overall participation rate was 72 percent with 16,263 employees submitting a survey either online or with a paper survey booklet. Paper surveys were mailed back directly to Mercer in postage paid return envelopes. This response exceeded the previous mark of 68 percent in 2006. It is an excellent rate of participation for an organization the size and complexity of Caltrans, and considering that all employees were asked to participate rather than a sample of employees as in 1999 and 2002.

## Employee Survey Participation Rates by Survey Year

Year	Population/Sample Size	Surveys Completed	Return Rate	
1999	4,700	3,196	68%	Sample surveys
2002	7,485	4,882	65%	
2006	22,293	15,157	68%	Census surveys
2008	22,581	16,263	72%	

1999 and 2002: Samples only; thereafter, the entire Department was surveyed.

# Methodology

## Survey Participation

### Districts 01 through 12 Response Rates

- The response rates for District 01 through 12 are reported in the following table. The response statistic is based on the recoded data set, which was created to adjust for respondent coding errors. The recoding process is described in this section on the page following the response rate tables.

Caltrans 2008 Employee Survey Participation Statistics					
Number	District Name	Online	Paper	Total	Completed
01	Eureka	176	134	310	77%
02	Redding	200	127	327	46%
03	Marysville	1,185	339	1,524	69%
04	Oakland	1,785	557	2,342	66%
05	San Luis Obispo	236	131	367	81%
06	Fresno	1,174	160	1,334	66%
07	Los Angeles	1,143	529	1,672	64%
08	San Bernardino	815	232	1,047	71%
09	Bishop	81	64	145	57%
10	Stockton	251	138	389	70%
11	San Diego	806	198	1,004	73%
12	Irvine	434	141	575	63%

### Headquarters District Response Rates

- Response rates for Headquarters Districts 20 through 56 are reported in the following table.

Caltrans 2008 Employee Survey Participation Statistics					
Number	District Name	Online	Paper	Total	Completed
20	Information Technology	389		389	66%
22	Business, Facilities & Security	29		29	43%
22	Human Resources	156	1	157	64%
22	Labor Relations	15		15	83%
22	Procurement & Contracts	84		84	67%
22	Workforce Planning & Development	26		26	70%
32	Equipment	251	162	413	60%
42	Legal Division	177	3	180	63%
43	Environmental Analysis	86		86	119%
44	Project Management	94		94	134%
50	Local Assistance	66		66	93%
51	Traffic Operations	183		183	101%
52	Right of Way	103		103	178%
53	Design	166		166	139%
54	Construction	141		141	217%
56	Maintenance	247	13	260	83%

### Headquarters District Response Rates (continued)

- Response rates for Headquarters Districts 59 through 95 are reported in the following table.

Caltrans 2008 Employee Survey Participation Statistics					
Number	District Name	Online	Paper	Total	Completed
59	Engineering Services	1,317	2	1,319	66%
63	Aeronautics	23		23	85%
64	Mass Transportation	35		35	69%
65	Research & Innovation	85		85	69%
72	Transportation Systems Information	46		46	67%
74	Transportation Planning	92		92	91%
75	Rail	42		42	69%
77	Audits & Investigations	58	1	59	92%
79	Information Security & Operational Recovery	10		10	111%
80	Transportation Programming	45		45	98%
81	Accounting	193		193	57%
82	Budgets	56	1	57	93%
85	Director	20		20	100%
88	Civil Rights	52		52	78%
95	External Affairs	26		26	87%

# Methodology Survey Participation

## Overall Department Response Rate

- The response rate for the Department overall is reported in the following table.

Caltrans 2008 Employee Survey Participation Statistics					
Number	District Name	Online	Paper	Total	Completed
	Districts Subtotal	12,599	2,933	15,532	
	District 00 (Responded "Not Sure")	67	22	89	
	No District Response	421	221	642	
	Subtotals	13,087	3,176		
	TOTAL			16,263	72%

# Methodology

## Survey Participation

### Recoding of “Report to” Headquarters District and Field District Responses

- When response frequencies for headquarters and field districts were reviewed, it was noted that a number of headquarters districts had more respondents than actual staff headcount. A number of respondents had miscoded themselves with respect to which district they report to, which in turn created response rates of greater than 100 percent.
- Although this problem could not be corrected completely, a portion of data were recoded so as to reassign respondents to the source district they mostly likely truly report to, i.e., their source district. Recoding protocols were established based on assessment of response patterns to survey question A, “What is your source district – the district you work for (report to)?,” and survey question B, “What is the district you work in (physical work location)?” Input from leaders of the districts most affected was also considered before data were recoded.
- Every effort was made to correct as many miscoded responses as possible. However, in some instances the correct source district could not be determined. Therefore, some coding errors remain in the final dataset. To determine if recoding had a significant impact on survey scores, the five districts (52, 53, 54, 56, and 74) most impacted by the recoding were further analyzed. “Before recode” and “after recode” favorable scores were calculated and compared for each survey question for each of these five districts. For all comparisons, differences were not statistically significant. Furthermore, no discernable trends or patterns were evident in the differences between scores. These additional analyses, therefore, indicate that recoding of the data did not significantly impact the survey results. One can extrapolate this result to conclude that the data do in fact represent the opinions of employees who report to the district at hand.

- The survey contained 75 closed-ended (e.g., “agree/disagree”) questions that covered 15 topic areas or “categories”. The number of survey questions was decreased from a total of 104 questions in the 2006 survey. This was done to remove some redundancy in question content, to remove questions that were no longer of interest, and to shorten the length of time required to complete the survey. The strategic plan objectives related to the service goal were also considered in choosing questions, and several multiple choice questions were added that sought information on job rotation assignments, and on the changes employees desire to enhance their productivity. There were also two open-ended questions included that employees could answer in their own words by writing or typing a response. This was the first time open-ended questions were included in the survey, and the second open-ended question was suggested by Division of Equipment employees. Eight demographic questions were included for segmentation purposes. Fifty-five of the 75 questions are comparable to questions in the 2006 survey, 38 are comparable to 2002 survey questions, and 30 are comparable to 1999 survey questions. Twenty-seven questions are comparable across all four iterations of the survey. In addition, 35 questions are comparable to an external benchmark of employee opinion provided by Mercer.
- The 15 categories covered in the survey are nearly the same as those used in 2006. This was decided by the steering committee in order to maintain consistency between years and aid interpretation and follow through efforts. There are only two exceptions. The category formerly called ‘Caltrans Management’ is combined together with “District/Headquarters Management.” Second, the category formerly called “Goals & Objectives” is now part of “Mission/Vision, Goals, & Values.” The 15 categories are listed below.

- |                                       |                                    |
|---------------------------------------|------------------------------------|
| 1. Ability To Get The Job Done        | 9. Mission/Vision, Goals, & Values |
| 2. About The Survey Process           | 10. Organization Effectiveness     |
| 3. Cooperation & Teamwork             | 11. Physical Working Conditions    |
| 4. Directorate & Executive Management | 12. Quality & Customer Focus       |
| 5. District/Headquarters Management   | 13. The Job Itself                 |
| 6. Empowerment & Innovation           | 14. Training & Career Development  |
| 7. Engagement & Support for Success   | 15. Treatment & Equity             |
| 8. Immediate Supervision              |                                    |

- The 75 scaled response questions were associated with each of the 15 categories according to the topic or issue covered. Each category contains at least two questions, and the largest category contains 10 questions. A brief description of each category follows.
  - 1. Ability to Get the Job Done: Questions about the tools, information, and authority employees need to get the job done
  - 2. About the Survey Process: Questions about how Caltrans management uses the survey results
  - 3. Cooperation & Teamwork: Questions about cooperation at different levels of the organization, including within the work unit
  - 4. Directorate & Executive Management: Questions about confidence in the directorate and executive management
  - 5. District/Headquarters Management: Questions about district management, particularly around aspects of communication
  - 6. Empowerment & Innovation: Questions about encouragement of innovation and sharing ideas
  - 7. Engagement & Support for Success: Questions about the employee experience working for Caltrans
  - 8. Immediate Supervision: Questions about the immediate supervisor's performance and communication
  - 9. Mission/Vision, Goals, & Values: Questions about perceptions of Caltrans' Mission/Vision, Goals, and Values
  - 10. Organization Effectiveness: Questions about Caltrans as an organization, including its talent, public regard, and ethics
  - 11. Physical Working Conditions: Questions about on-the-job safety and "physical working conditions"
  - 12. Quality & Customer Focus: Questions about Caltrans' commitment to quality and customer service
  - 13. The Job Itself: Questions about the work being done and the ability to have work-life balance
  - 14. Training & Career Development: Questions about training opportunities, career development, and promotion
  - 15. Treatment & Equity: Questions about fairness, respect, and recognition
- The survey instrument was pretested with a representative group of Caltrans employees and final edits were implemented. The survey was given final approval by the steering committee and senior executives.

# Methodology Survey Scales

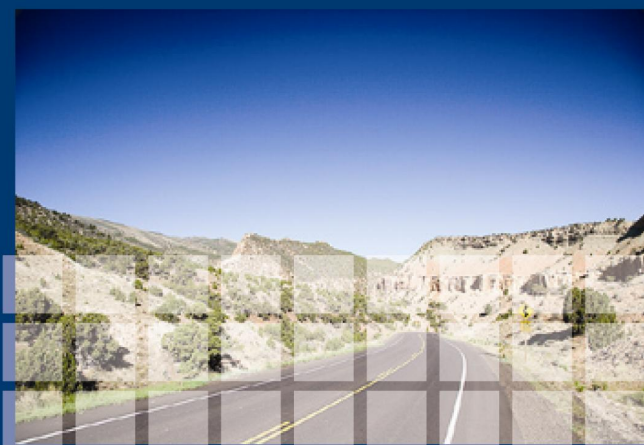
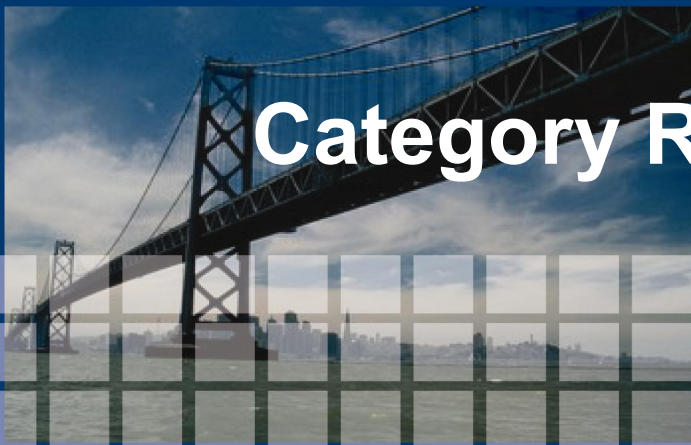
- The 2008 employee survey included a total of 75 closed-ended questions. “Closed-ended” refers to questions that had response choices, as opposed to “open-ended” questions, where respondents could write or type what they wanted.
- Scaled Questions: Strongly Agree to Strongly Disagree
  - 70 of the 75 questions were formatted such that participants were presented with a statement and asked to indicate their level of agreement among five options. The five options represent a 5-point ordinal scale: “Strongly Agree;” “Agree;” “Neither Agree Nor Disagree;” “Disagree;” “Strongly Disagree.” Questions having this scale include question numbers 1 through 52, 55 through 66, 68 through 71, 74, and 75.
  - For the purpose of reporting, responses to questions using the five-point “Strongly Agree” to “Strongly Disagree” scale are clustered into three categories: “Favorable,” “Neutral,” and “Unfavorable.” All questions in the questionnaire are worded such that a positive response would be considered favorable. Therefore, “Strongly Agree” and “Agree” responses are combined and reported together as “Favorable,” “Neither Agree Nor Disagree” responses are reported as “Neutral,” and “Disagree” and “Strongly Disagree” responses are combined and reported together as “Unfavorable.”
- Other Scaled Question
  - One of the 75 questions, question 73, asked about the length of time the respondent expected to continue working for Caltrans. The response scale to this question was also ordinal; the seven different values represented different lengths of time.
  - The responses to this question are not clustered; the percentage of respondents choosing each option is shown separately.
- Non-Scaled Questions
  - Two of the 75 questions presented a scenario, then asked the respondent to select up to three options that corresponded to their response to the scenario. The two scenario questions with multiple response options were questions 53 and 54.
  - Two of the 75 questions presented a question, then asked respondents to select up to three choices that described their answer. The two multiple response questions were questions 72 and 76.

## Methodology Survey Analysis

- Mercer's analysis of the survey data includes a number of different perspectives described in each of the following bullet points.
- Objective interpretation of the survey results:
  - An objective look at the percentages of favorable, neutral, and unfavorable responses considers the numbers alone. In general, the following guidelines apply:
    - Favorable responses: 70 percent or above is typically a good result; 50 percent or below is a red flag that may warrant further analysis.
    - Neutral responses: 30 percent or above is considered high, and typically indicates an opportunity for improvement. High mid-point responses may indicate ambivalence (and therefore some level of dissatisfaction), or a felt lack of experience or information about the topic of the question.
    - Unfavorable responses: 25 percent or above is a red flag that may warrant further analysis.
- Comparative interpretations of the survey results:
  - The survey results are also interpreted in light of two different types of comparisons:
    - Internal comparisons include an examination of significant differences between the specific district, division, or deputy area, and its respective demographic subgroups. Note that the sum of respondents across subgroups (e.g., collective bargaining designations) will typically be less than the total number of respondents in the report (e.g., all District 01 respondents in the District 01 report), because not every respondent answers every question about where they work, their role, their gender, etc.
    - External benchmark (normative) comparisons look at the difference between the specific district, division, or deputy area and Mercer's benchmark of U.S. public-sector employees. (For Caltrans overall, an overview comparison to the U.S. working population overall is also provided. For reference a comparison of these two external benchmarks is also included in all reports.)
  - Comparisons present "% Diff from," which subtracts the norm score (or Caltrans overall score) from the district score.

- Considering changes in “Favorable,” “Neutral,” and “Unfavorable.”
  - The overarching goal of employee research is to create information that can be used to drive organizational development, which in turn will improve satisfaction and engagement over time. Improvements are measured in terms of favorable response to survey questions. To that end, the analyses presented in this report primarily consider differences in percent favorable rather than differences in percent neutral and unfavorable response. For example, top 10/bottom 10 questions versus external benchmark reference the difference in percent favorable (higher or lower), rather than differences from the neutral or unfavorable responses.
  - Mercer takes this approach because both neutral and unfavorable scores are, by definition, non favorable, albeit to differing degrees.
- Statistically significant differences:
  - Differences between Caltrans Overall and any particular comparison group (e.g., a particular division, district or demographic) are tested for significance using a statistical test called the test of proportions. The test of proportions tells us if a difference in response percentages between one group and another is likely to be a “real” difference versus a difference that is due to “chance” fluctuations in responses. The statistical test is sensitive to the size of the groups being compared, so even small differences at the Department overall level may be significant. For field and headquarter districts with smaller numbers of respondents, the differences need to be larger in order to be statistically significant.
  - The relative size of differences need not be of concern when analyzing results. Significant differences have been color-coded to make identification of the specific differences and patterns of differences easier. This report includes several charts depicting significant differences between scores. Legends and/or text describe how the significant differences are represented. Across the various slides, green indicates a significant positive difference, and red indicates a significant negative difference. In addition to color-coding, negative differences are signed with a minus sign (“-”), and/or significant differences are marked with an asterisk (“\*\*”) in order to accommodate color-blind readers or reports printed in black and white.

# Category Results



The following section provides results and analysis of the 15 survey categories, which provides a holistic overview of results.

# Category Results

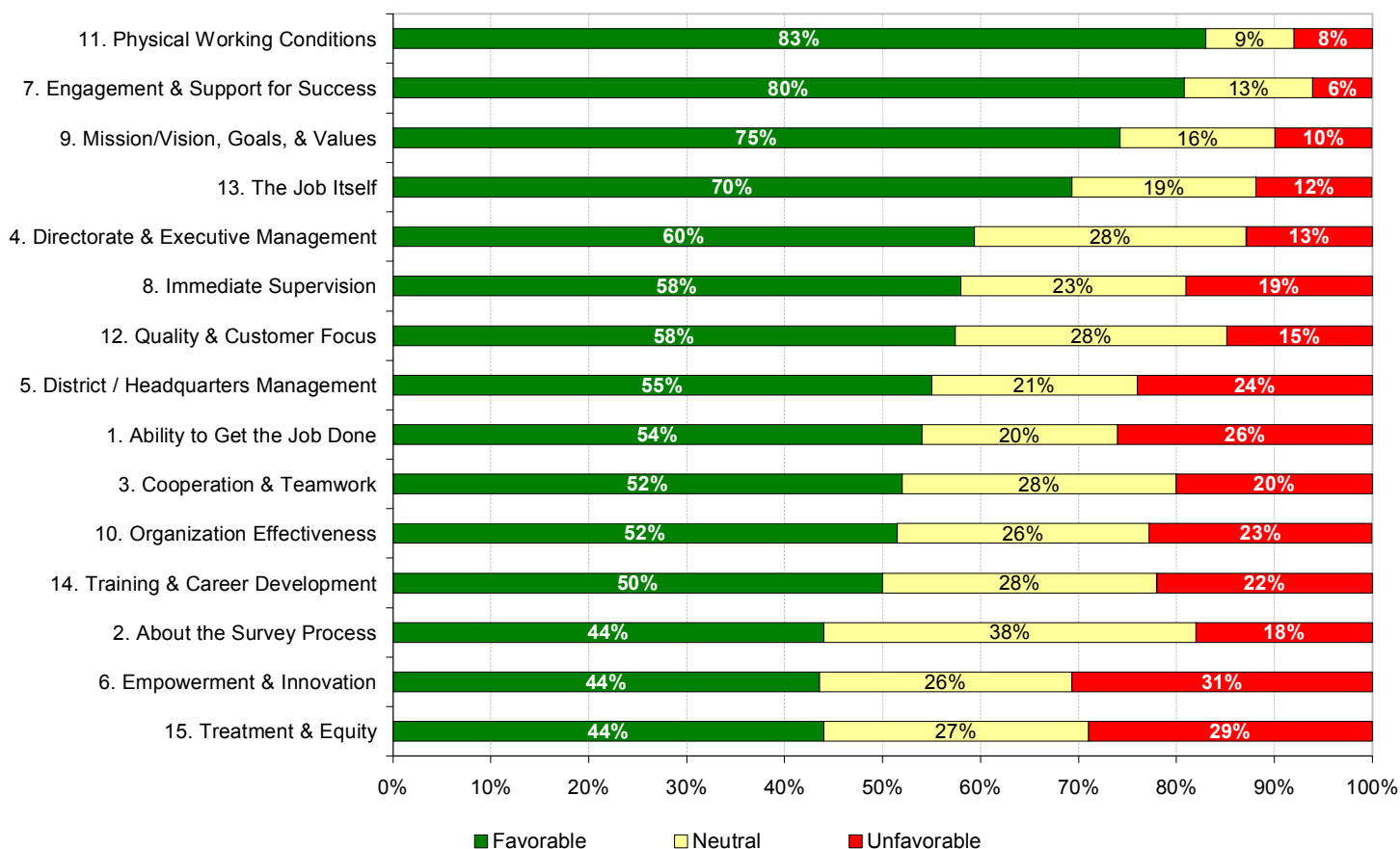
## Category Scores

- Highest Favorable Categories
  - The survey questions in “Physical Working Conditions,” “Engagement & Support for Success,” and “Mission/Vision, Goals, & Values” categories were rated most favorably by District 72 Transportation Systems Information respondents, with an average of three-quarters or more of employees reporting they “Strongly Agree” or “Agree” with these questions (83 percent, 80 percent, and 75 percent favorable, respectively). Not far behind was the category “The Job Itself” (average 70 percent favorable).
- Lowest Favorable Categories
  - Three categories of questions – “About the Survey Process,” “Empowerment & Innovation,” and “Treatment & Equity” – scored lowest on favorability, with fewer than half of the District 72 Transportation Systems Information respondents agreeing with these questions on average. Questions from each of these three categories were rated on average 44 percent favorable.
- Overall, Transportation Systems Information employees are favorable about the physical working conditions (e.g., safety), engagement on the job, Caltrans’ mission/vision, and the job itself. They view how management uses the survey results, their ability to be empowered on the job, and the fairness of how employees are treated less favorably.
- When analyzing results at the category level, it is important to keep in mind that scores are averages, and individual question scores may vary significantly within a category; individual question results for each category are reported in Appendix B of this report.

# Category Results

## Category Scores for District 72 Transportation Systems Information

- Overall, District 72 employees are favorable about the physical working conditions (e.g., safety), engagement on the job, Caltrans' mission/vision, and the job itself. They view how management uses the survey results, their ability to be empowered on the job, and the fairness of how employees are treated less favorably. (See previous page for detailed analysis. For reference, the category scores for the Department overall are presented on the next page.)

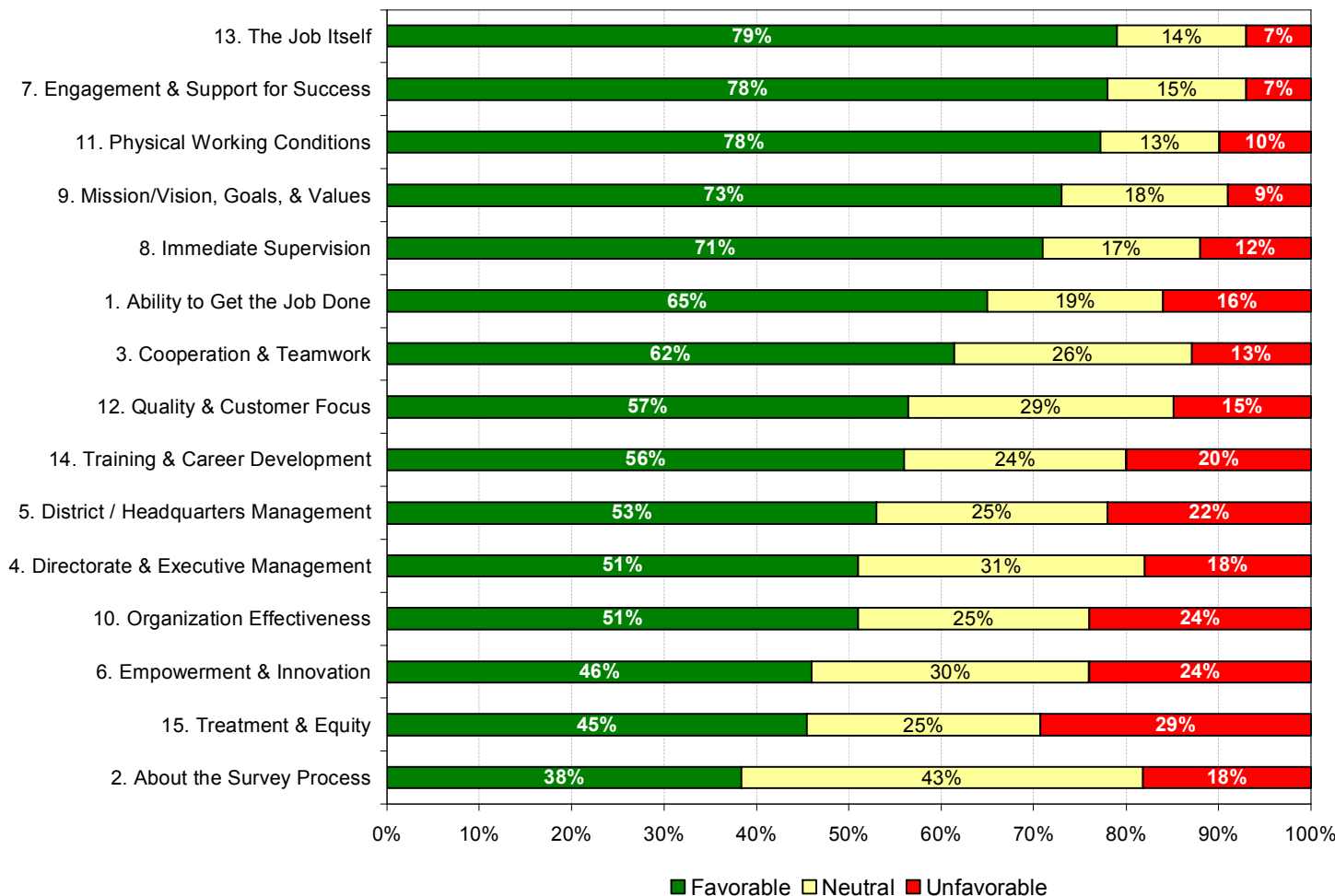


- Categories are presented from most to least favorable.
- Scores for each category are the simple averages of all questions in that category. There are two to ten questions in each category.
- Favorable scores are presented in green (left portion of bar), neutral scores in yellow (mid portion), and unfavorable scores in red (right portion).
- “Favorable” is a combination of two scale points (most often “Strongly Agree” and “Agree”); Neutral is the “Neither/nor” response, and “Unfavorable” the combination of two scale points (usually “Strongly Disagree” and “Disagree”).

# Category Results

## Department Overall Category Scores

- Overall, Caltrans employees are favorable towards their jobs, engaged on the job, and feel positively about the physical working conditions (e.g., safety) relative to other areas surveyed, while they view their ability to be empowered on the job, the fairness of how employees are treated, and how management uses the survey results less favorably.



- Categories are presented from most to least favorable.
- Scores for each category are the simple averages of all questions in that category. There are two to ten questions in each category.
- Favorable scores are presented in green (left portion of bar), neutral scores in yellow (mid portion), and unfavorable scores in red (right portion).
- “Favorable” is a combination of two scale points (most often “Strongly Agree” and “Agree”); Neutral is the “Neither/nor” response, and “Unfavorable” the combination of two scale points (usually “Strongly Disagree” and “Disagree”).

The header features a dark blue background with a collage of four images. From left to right: a woman wearing a yellow hard hat and an orange safety vest; a large suspension bridge spanning a body of water; two construction workers in high-visibility yellow vests and hard hats; and a winding asphalt road through a desert landscape with hills in the background. The text "Key Question Results" is overlaid in white on the bridge image.

# Key Question Results

The following section provides results for the top ten/bottom ten favorable and top ten unfavorable questions in the survey, and the top ten/bottom ten questions compared to the Department overall.

# Key Question Results

## Top/Bottom Ten Questions

- The points below summarize results of the most and least favorable scoring questions, and the most unfavorable scoring questions. The questions are presented in tables on the following pages.
- Most and Least Favorable Questions
  - The most favorably rated questions were in the categories of “Mission/Vision, Goals, & Values” and “Engagement & Support for Success.” The identification of these categories among District 72 Transportation Systems Information employees indicates that employees identify with Caltrans’ mission/vision, are engaged on the job, and are willing to expend extra effort to help the Department succeed. The two safety-related questions also surfaced in the top ten most favorable.
  - While the bottom ten questions were varied, two questions in the “Organization Effectiveness” category were the two least favorable questions. Attraction and retention of high quality employees, performance management, opportunities for advancement, and decision-making figure among the bottom ten questions.
- Most Unfavorable Questions
  - The most unfavorably rated question results overlap considerably with the least favorably rated questions. Safety in speaking up also surfaced as highly unfavorable, with 36 percent disagreement.

## Key Question Results

### Ten Questions that Compare Most/Least Favorably to the Department Overall

- Discussed here are the “Ten Questions that Compare Most/Least Favorably to the Department Overall.” For data results, see the pages in this section with that header.
- Most Favorable Questions Compared to the Department Overall
  - Two questions from the “Physical Working Conditions” category surfaced in the top ten compared to the Department overall, with the question “My work area is a safe place to work” rated significantly higher than the Department overall.
  - Questions regarding Caltrans’ reputation and values scored significantly higher than in the Department overall.
- Least Favorable Questions Compared to the Department Overall
  - District 72 Transportation Systems Information employees are generally less favorable regarding their immediate supervisors, rating them significantly lower on four questions than Caltrans overall. Other questions surfacing in the top ten compared to Department tended to be from the categories “Cooperation & Teamwork” and “Ability to Get the Job Done.”

# Key Question Results

## Ten Most Favorably Rated Questions

- The most favorably rated questions among District 72 Transportation Systems Information employees indicate that that employees identify with Caltrans' mission/vision, are engaged on the job, and feel safe at work.

Category	Question	%Fav	%Neutral	%Unfav
9. Mission/Vision, Goals, & Values	16. I am familiar with the Caltrans Mission/Vision statement.	95%	5%	0%
11. Physical Working Conditions	65. My work area is a safe place to work.	95%	5%	0%
9. Mission/Vision, Goals, & Values	18. Caltrans' Values are clear to me.	91%	5%	5%
7. Engagement & Support for Success	70. I am willing to go beyond the requirements of my job to help Caltrans succeed.	91%	7%	2%
11. Physical Working Conditions	64. Caltrans provides adequate safety training.	91%	9%	0%
7. Engagement & Support for Success	71. I feel proud to work for Caltrans.	84%	14%	2%
9. Mission/Vision, Goals, & Values	17. I feel that my work helps Caltrans fulfill its Mission/Vision.	80%	14%	7%
8. Immediate Supervision	33. My supervisor works effectively with people of different genders, racial/ethnic backgrounds, lifestyles, etc.	75%	14%	11%
7. Engagement & Support for Success	69. I would recommend Caltrans to others as a good place to work.	74%	16%	9%
13. The Job Itself	63. I am able to maintain a healthy balance between my work and my personal life.	74%	21%	5%

# Key Question Results

## Ten Least Favorably Rated Questions

- Retention of high quality employees, performance management, opportunities for advancement, and decision-making figure among the bottom ten questions.

Category	Question	%Fav	%Neutral	%Unfav
10. Organization Effectiveness	51. Promotions are generally given to the most qualified employees.	25%	27%	48%
10. Organization Effectiveness	10. Caltrans retains high quality employees.	30%	33%	37%
2. About the Survey Process	74. I think Caltrans management has used the results of the last survey constructively.	33%	48%	19%
14. Training & Career Development	49. Caltrans provides a clear understanding of what it takes to be successful for future advancement in the organization.	34%	39%	27%
15. Treatment & Equity	50. Poor performance usually is not tolerated in Caltrans.	35%	19%	47%
6. Empowerment & Innovation	7. Caltrans management does a good job of defining and communicating appropriate levels of risk-taking as it relates to my work.	41%	27%	32%
14. Training & Career Development	52. I believe that at Caltrans, becoming a supervisor or manager (or supervisor or manager at a higher-level than I am already) is a desirable goal, in general.	41%	36%	23%
1. Ability to Get the Job Done	58. The number of approvals required for routine decisions is reasonable.	42%	26%	33%
3. Cooperation & Teamwork	39. There is good cooperation and teamwork between my work unit and other work units within my division or district.	43%	20%	36%
5. District / Headquarters Management	26. Management in my division or district makes decisions promptly.	43%	25%	32%

# Key Question Results

## Ten Most Unfavorably Rated Questions

- The most unfavorably rated question results overlap considerably with the least favorably rated questions.

Category	Question	%Fav	%Neutral	%Unfav
10. Organization Effectiveness	51. Promotions are generally given to the most qualified employees.	25%	27%	48%
15. Treatment & Equity	50. Poor performance usually is not tolerated in Caltrans.	35%	19%	47%
10. Organization Effectiveness	10. Caltrans retains high quality employees.	30%	33%	37%
3. Cooperation & Teamwork	39. There is good cooperation and teamwork between my work unit and other work units within my division or district.	43%	20%	36%
6. Empowerment & Innovation	14. It is safe to speak up at Caltrans.	43%	20%	36%
1. Ability to Get the Job Done	58. The number of approvals required for routine decisions is reasonable.	42%	26%	33%
6. Empowerment & Innovation	7. Caltrans management does a good job of defining and communicating appropriate levels of risk-taking as it relates to my work.	41%	27%	32%
5. District / Headquarters Management	26. Management in my division or district makes decisions promptly.	43%	25%	32%
6. Empowerment & Innovation	15. I feel encouraged to try new ideas and new ways of doing things to improve Caltrans.	45%	25%	30%
1. Ability to Get the Job Done	57. I have sufficient authority to make the decisions necessary to do my job well.	60%	12%	28%

## Key Question Results

### Ten Questions that Compare Most Favorably to the Department Overall

- Two questions from the “Physical Working Conditions” category surfaced in the top ten compared to the Department overall, with the question “My work area is a safe place to work” rated significantly higher than the Department overall. Questions regarding Caltrans’ reputation and values also scored significantly higher than in the Department overall.

Category	Question	Fav% Diff from Caltrans Overall*	%Fav	%Neutral	%Unfav
10. Organization Effectiveness	11. Caltrans is highly regarded by the general public.	25%*	57%	32%	11%
11. Physical Working Conditions	65. My work area is a safe place to work.	16%*	95%	5%	0%
9. Mission/Vision, Goals, & Values	18. Caltrans' Values are clear to me.	15%*	91%	5%	5%
4. Directorate & Executive Management	21. The Caltrans directorate has a clear vision for the future.	12%	68%	20%	11%
2. About the Survey Process	75. I think Caltrans management will use the results of this current survey constructively.	11%	55%	29%	17%
15. Treatment & Equity	50. Poor performance usually is not tolerated in Caltrans.	10%	35%	19%	47%
3. Cooperation & Teamwork	40. There is good cooperation and teamwork between district units and headquarters units.	10%	58%	28%	14%
12. Quality & Customer Focus	12. Caltrans' image has improved over the past two years.	10%	59%	30%	11%
11. Physical Working Conditions	64. Caltrans provides adequate safety training.	10%	91%	9%	0%
10. Organization Effectiveness	9. Caltrans attracts high quality employees.	9%	45%	30%	25%

\* indicates a statistically significant difference; see methodology for explanation of statistical significance and column headers

# Key Question Results

## Ten Questions that Compare Least Favorably to the Department Overall

- District 72 Transportation Systems Information employees are generally less favorable regarding their immediate supervisors, rating them significantly lower on four questions than Caltrans overall. Other questions surfacing in the top ten compared to Department tended to be from the categories “Cooperation & Teamwork” and “Ability to Get the Job Done.”

Category	Question	Fav% Diff from Caltrans Overall*	%Fav	%Neutral	%Unfav
3. Cooperation & Teamwork	39. There is good cooperation and teamwork between my work unit and other work units within my division or district.	-23%*	43%	20%	36%
8. Immediate Supervision	28. My supervisor communicates effectively.	-22%*	52%	25%	23%
3. Cooperation & Teamwork	62. My work unit operates efficiently.	-21%*	47%	30%	23%
8. Immediate Supervision	35. I think my performance on the job is evaluated fairly.	-21%*	52%	36%	11%
8. Immediate Supervision	29. My supervisor provides me with clear feedback on a regular basis.	-20%*	48%	25%	27%
1. Ability to Get the Job Done	58. The number of approvals required for routine decisions is reasonable.	-18%*	42%	26%	33%
10. Organization Effectiveness	4. Caltrans is an environmentally responsible organization.	-17%*	64%	27%	9%
1. Ability to Get the Job Done	59. The information I need to do my job is readily available.	-16%*	53%	23%	23%
8. Immediate Supervision	27. My supervisor is available when needed.	-15%*	68%	16%	16%
13. The Job Itself	55. My job provides me the opportunity to do challenging and interesting work.	-14%*	65%	16%	19%

\* indicates a statistically significant difference; see methodology for explanation of statistical significance and column headers



# Normative Comparison

The following section provides results compared to an external benchmark (norm), including top 10 and bottom 10 questions compared to the norm.

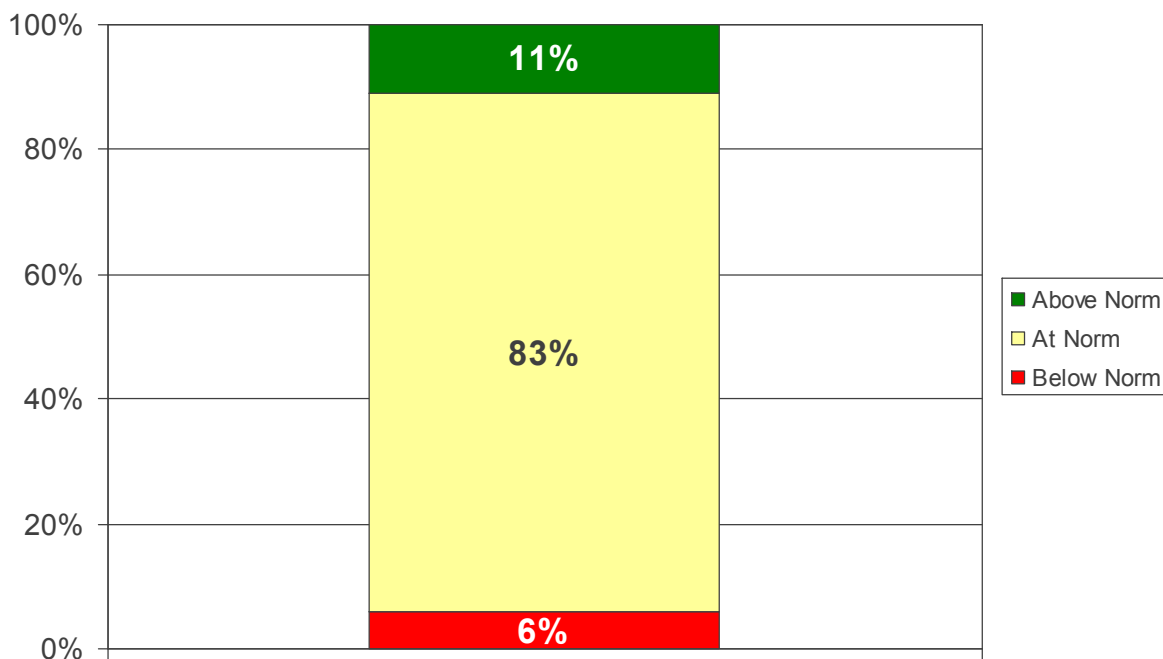
## Normative Comparison Results Compared to Norm

- Caltrans results were compared to an external normative benchmark (“norm”) on 35 comparable questions.
- Mercer’s norm comprises a valid random sample of working adults in the U.S. Approximately 12 percent of the sample are people working in government (national, state, or local) or public sector organizations. Detailed question-level comparison is provided for the public sector respondent segment of the norm.
- District 72 Transportation Systems Information respondents were significantly above the norm on 11 percent of benchmarked questions and significantly below the norm on 6 percent. There were no statistical differences on 83 percent of benchmarked questions.
- Questions asking about District 72 Transportation Systems Information employees’ perception of management made up the majority of the top 10 comparable questions.
- District 72 Transportation Systems Information employees provided ratings above norm on four questions, focused primarily on perceptions of local and executive management, Caltrans’ values, and being willing to go beyond job requirements to help Caltrans succeed.
- Only two questions scored significantly below norm. These questions concern “The Job Itself” and “Ability to Get the Job Done.” About half (53 percent) agreed that the information needed to do the job is readily available (23 percent below norm). While roughly two-thirds (65 percent) feel their job is challenging and interesting, this score fell 14 percent below the norm.

## Normative Comparison

### Public Sector Normative Comparison – All Questions

- Mercer's norm comprises a statistically valid random sample of working adults in the U.S. Public sector employees comprise approximately 12 percent of the respondents in the sample.
- District 72 Transportation Systems Information respondents were significantly above the norm on 11 percent of benchmarked questions and significantly below the norm on 6 percent. There were no statistical differences on 83 percent of benchmarked questions.



**District 72 Transportation Systems Information vs.  
Public Sector Norm**

- The chart reports the percentage of questions significantly above norm (statistically more favorable), at norm (statistically the same), and significantly below norm (statistically less favorable).
- The percentages are based on a total of 35 questions used in the Caltrans' 2008 survey that are comparable to Mercer's normative questions.

# Normative Comparison

## Ten Questions that Compare Most Favorably to Public Sector Norm

- District 72 Transportation Systems Information employees provided ratings above norm on four questions, focused primarily on perceptions of local and executive management, Caltrans' values, and being willing to go beyond job requirements to help Caltrans succeed.

Category	Question	Fav% Diff from Norm*	%Fav	%Neutral	%Unfav
9. Mission/Vision, Goals, & Values	18. Caltrans' Values are clear to me.	29%*	91%	5%	5%
5. District / Headquarters Management	37. My second-level supervisor provides me with recognition or praise for good work.	28%*	55%	20%	25%
4. Directorate & Executive Management	21. The Caltrans directorate has a clear vision for the future.	27%*	68%	20%	11%
7. Engagement & Support for Success	70. I am willing to go beyond the requirements of my job to help Caltrans succeed.	14%*	91%	7%	2%
5. District / Headquarters Management	24. Management in my division or district is open and honest in communications to employees.	14%	50%	23%	27%
9. Mission/Vision, Goals, & Values	20. Management's decisions and actions are consistent with the Caltrans Values.	12%	50%	23%	27%
5. District / Headquarters Management	23. Management in my division or district keeps employees informed about matters that affect us.	12%	64%	18%	18%
9. Mission/Vision, Goals, & Values	19. Caltrans' Values provide a meaningful framework for me to do my job.	10%	61%	30%	9%
13. The Job Itself	63. I am able to maintain a healthy balance between my work and my personal life.	10%	74%	21%	5%
5. District / Headquarters Management	25. Management in my division or district is interested in the well-being of employees.	9%	61%	20%	18%

\* indicates a statistically significant difference; see methodology for explanation of statistical significance and column headers

# Normative Comparison

## Ten Questions that Compare Least Favorably to Public Sector Norm

- Access to the right information and having interesting and challenging work to do are the two questions that were rated significantly less favorable than the norm.

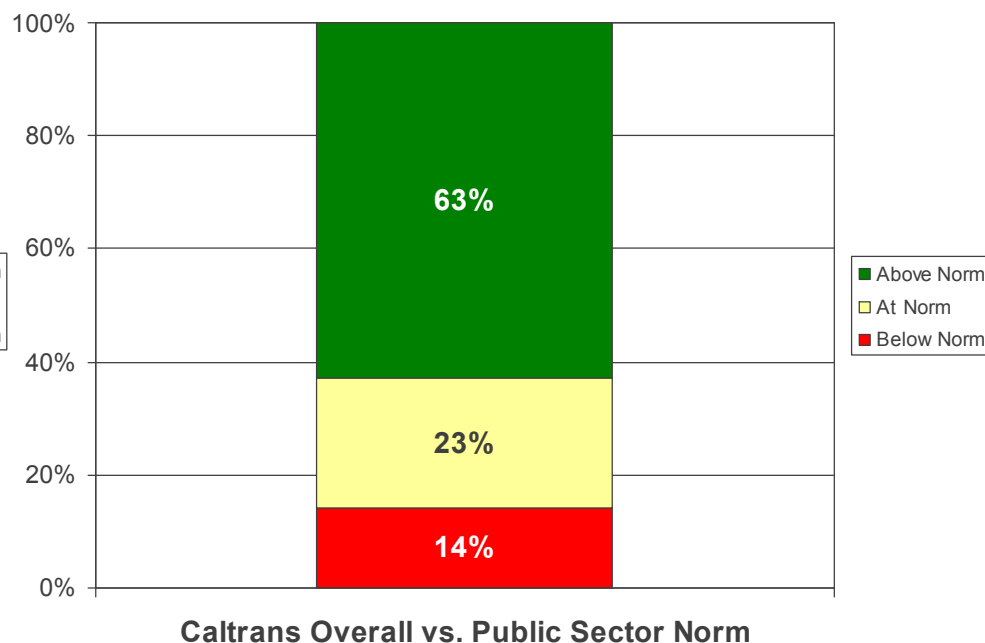
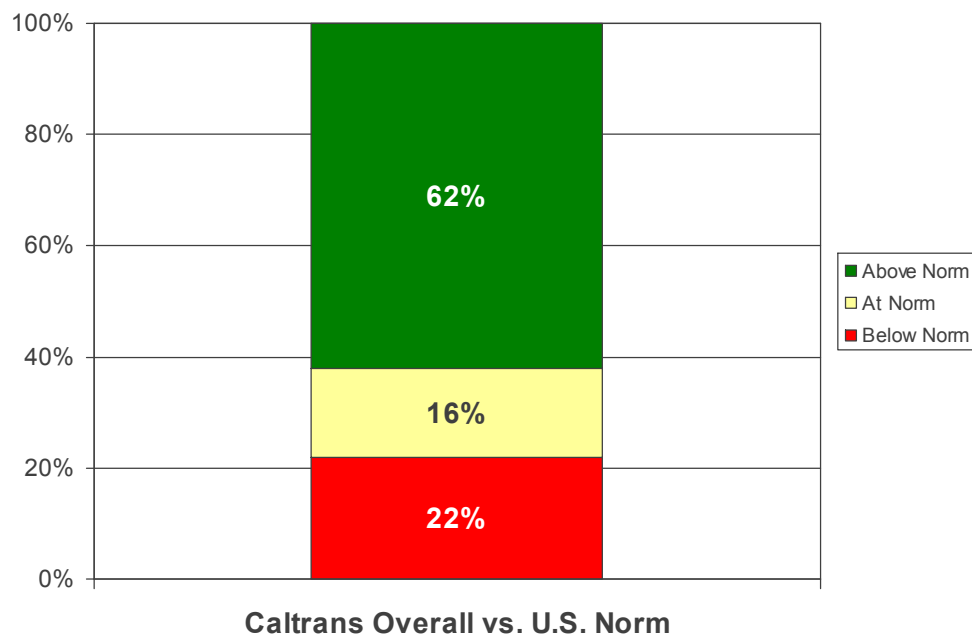
Category	Question	Fav% Diff from Norm*	%Fav	%Neutral	%Unfav
1. Ability to Get the Job Done	59. The information I need to do my job is readily available.	-23%*	53%	23%	23%
13. The Job Itself	55. My job provides me the opportunity to do challenging and interesting work.	-14%*	65%	16%	19%
6. Empowerment & Innovation	15. I feel encouraged to try new ideas and new ways of doing things to improve Caltrans.	-11%	45%	25%	30%
1. Ability to Get the Job Done	57. I have sufficient authority to make the decisions necessary to do my job well.	-11%	60%	12%	28%
15. Treatment & Equity	13. Caltrans treats employees with respect, regardless of their position.	-11%	43%	32%	25%
1. Ability to Get the Job Done	60. I am satisfied with the availability of the tools necessary to do my job.	-11%	60%	21%	19%
6. Empowerment & Innovation	14. It is safe to speak up at Caltrans.	-10%	43%	20%	36%
8. Immediate Supervision	28. My supervisor communicates effectively.	-9%	52%	25%	23%
12. Quality & Customer Focus	2. Caltrans is committed to quality.	-9%	59%	25%	16%
8. Immediate Supervision	29. My supervisor provides me with clear feedback on a regular basis.	-5%	48%	25%	27%

\* indicates a statistically significant difference; see methodology for explanation of statistical significance and column headers

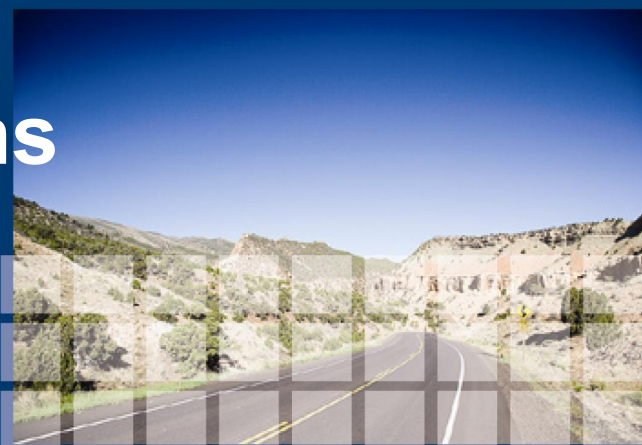
## Normative Comparison

### Comparing the Public Sector Norm with the U.S. Overall Norm

- In the previous pages of this section, results for District 72 have been compared to the Public Sector Norm, which is a segment of the U.S. Overall Norm. For the Department overall, results were also compared to the U.S. Overall Norm. The charts below show the outcome of each of those comparisons across all survey questions. The Department overall scores were significantly more favorable in approximately equal proportions for both norm comparisons. However, the Department scored significantly below the Public Sector Norm on fewer questions.
- While the Public Sector Norm should serve as the main focus of comparison, the favorable scores for all 35 questions for both norms are provided in Appendix D for reference.



# Internal Comparisons



The following section analyzes internal differences.

# Internal Comparisons

## Internal Differences

- Caltrans is a large, complex organization, with many different employee segments; therefore, it can be helpful to evaluate how these segments differ from the organization as a whole. Charts on the following pages display these internal comparisons for District 72 Transportation Systems Information, indicating statistically significant differences where applicable (see the following page for a detailed explanation of how to interpret these charts).
- There were no statistically significant differences among the various segments of District 72. Some comparisons are not reported because segments contained fewer than 10 respondents.

# Internal Comparisons

## How to Read Internal Comparison Charts

Category ▼	% Favorable Response for Caltrans Overall	District 1	District 2	District 3	District 4	District 5	District 6	District 7	District 8	District 9	District 10	District 11	District 12
Ability To Get The Job Done	85%	-6%	-2%	-1%	4%	11%	4%	5%	-1%	-2%	1%	7%	5%
About The Survey Process	79%	-5%	5%	-3%	13%	11%	10%	13%	6%	-1%	-6%	7%	11%
Caltrans Values & Mission/Vision	57%	8%	-12%	-3%	23%	4%	14%	13%	-41%	-1%	-6%	2%	3%
Cooperation & Teamwork	74%	6%	1%	-5%	12%	13%	11%	2%	-13%	-5%	-1%	17%	14%
District/Headquarters Management	63%	6%	11%	-6%	15%	1%	10%	13%	-6%	-3%	-4%	11%	3%
Empowerment & Innovation	83%	5%	15%	15%	15%	15%	15%	15%	15%	15%	15%	15%	15%
Engagement & Support For Success													

- On the following pages, percent difference scores are presented for various demographic cuts. Differences are in comparison with district overall scores in the column following category names.
- Statistical testing determines whether particular subgroups are significantly above or below the overall score. If a difference is statistically significant (i.e., not due to chance), the cell is shaded in red or green. Negative differences have a negative sign, positive differences have no sign. Note that the size of the difference alone does not determine statistical significance. The number of respondents in a particular subgroup also affects the statistical test such that smaller groups require larger differences before they are statistically significant and larger groups can have smaller differences that are statistically significant.
- The shaded scores do not indicate a judgment on the absolute score, rather it is to call attention to a variance from the district overall.

#%

= Significantly above Caltrans Overall

- #%

= Significantly below Caltrans Overall

## Internal Comparisons

### Comparisons across Job Function

Comparison not reported because some groups have fewer than 10 respondents.

## Internal Comparisons

### Comparisons across Collective Bargaining Designations

Comparison not reported because some groups have fewer than 10 respondents.

# Internal Comparisons

## Comparisons across Tenure

- There were no significant differences between employees of varying tenure.

Tenure ► Category ▼	% Favorable Response for 72 Transportation Systems Information Overall	10 years but less than 20 years 20 years or more	
1. Ability to Get the Job Done	54%	-8%	6%
2. About the Survey Process	44%	10%	-5%
3. Cooperation & Teamwork	52%	9%	-10%
4. Directorate & Executive Management	60%	-6%	-11%
5. District / Headquarters Management	55%	1%	0%
6. Empowerment & Innovation	44%	-11%	6%
7. Engagement & Support for Success	80%	2%	0%
8. Immediate Supervision	58%	-1%	-3%
9. Mission/Vision, Goals, & Values	75%	1%	-3%
10. Organization Effectiveness	52%	-3%	-2%
11. Physical Working Conditions	83%	4%	-7%
12. Quality & Customer Focus	58%	2%	-2%
13. The Job Itself	70%	-1%	0%
14. Training & Career Development	50%	2%	-12%
15. Treatment & Equity	44%	1%	-8%
<b>Number of Respondents (N)</b>	<b>46</b>	<b>13</b>	<b>15</b>

Note: Any employee segment with fewer than 10 respondents is not reported for purposes of confidentiality.

## Internal Comparisons

### Comparisons across Employment Status

Comparison not reported because some groups have fewer than 10 respondents.

## Internal Comparisons

### Comparisons across Location Base

Comparison not reported because some groups have fewer than 10 respondents.

# Internal Comparisons

## Comparisons across Gender

- There were no significant differences across male and female employees.

Gender ► Category ▼	% Favorable Response for 72 Transportation Systems Information Overall		
		Female	Male
1. Ability to Get the Job Done	54%	5%	-2%
2. About the Survey Process	44%	-5%	6%
3. Cooperation & Teamwork	52%	1%	2%
4. Directorate & Executive Management	60%	1%	1%
5. District / Headquarters Management	55%	-3%	5%
6. Empowerment & Innovation	44%	1%	0%
7. Engagement & Support for Success	80%	7%	-5%
8. Immediate Supervision	58%	0%	-1%
9. Mission/Vision, Goals, & Values	75%	-1%	0%
10. Organization Effectiveness	52%	3%	-1%
11. Physical Working Conditions	83%	1%	0%
12. Quality & Customer Focus	58%	0%	1%
13. The Job Itself	70%	-4%	4%
14. Training & Career Development	50%	2%	-3%
15. Treatment & Equity	44%	-6%	5%
<b>Number of Respondents (N)</b>	<b>46</b>	<b>19</b>	<b>21</b>

*Note: Any employee segment with fewer than 10 respondents is not reported for purposes of confidentiality.*

## Special Analysis

### Department Overall Comparisons across Engineering and Maintenance with Respect to Location (Field-based or Office-based)

- Because significant differences were found between employees in Engineering and Maintenance roles, and also between employees based in office locations versus field locations, this special analysis was completed at the Department overall level to look for differences between the cross cuts of these two variables.
- This special analysis shows that Engineers are generally more favorable than Caltrans employees overall regardless of whether they work in an office or field location. For Maintenance employees working in field locations, opinions are significantly less favorable across the board. Maintenance employees in office-based jobs are similar to Caltrans employees overall with the exception of being significantly less satisfied with “About the Survey Process,” “Directorate & Executive Management,” and “Training & Career Development” categories. They are significantly more favorable regarding “Physical Working Conditions,” however.

Job Function by Location Base ► Category▼	% Favorable Response for Caltrans Overall	Engineering-Field	Engineering-Office	Maintenance-Field	Maintenance-Office
1. Ability to Get the Job Done	65%	8%	4%	-8%	-3%
2. About the Survey Process	38%	4%	9%	-15%	-7%
3. Cooperation & Teamwork	62%	5%	4%	-8%	0%
4. Directorate & Executive Management	51%	6%	8%	-18%	-8%
5. District / Headquarters Management	53%	4%	5%	-7%	-3%
6. Empowerment & Innovation	46%	8%	3%	-5%	-3%
7. Engagement & Support for Success	78%	6%	6%	-10%	-3%
8. Immediate Supervision	71%	2%	2%	-3%	0%
9. Mission/Vision, Goals, & Values	73%	7%	6%	-13%	-3%
10. Organization Effectiveness	51%	5%	5%	-11%	-3%
11. Physical Working Conditions	78%	5%	6%	-9%	6%
12. Quality & Customer Focus	57%	5%	6%	-13%	-3%
13. The Job Itself	79%	6%	5%	-8%	1%
14. Training & Career Development	56%	8%	6%	-5%	-5%
15. Treatment & Equity	45%	5%	4%	-7%	-1%
Number of Respondents (N)	15,917	1,690	5,366	3,365	473



# Key Drivers of Employee Engagement

The following section examines the key driver analysis process, the employee engagement index and question scores, and key driver questions and scores. This section answers the question, “What drives employee engagement at Caltrans?”

# Key Drivers of Employee Engagement

## The Key Driver Analysis Process

- What “Employee Engagement” Means
  - The concept of engagement has to do with how an employee feels about the work experience – about the organization, its leaders, and the work environment. Engagement relates to, and has a reciprocal relationship with, the “implied contract” with an employer, i.e., employers provide acceptable working conditions and employees perform the work that is expected of them at or beyond what is considered an acceptable level of performance.
  - Engagement, which is beyond merely being satisfied, is the passion people bring to their jobs, as evidenced by feelings and behaviors such as:
    - “Going the extra mile” when necessary, applying discretionary effort and creative energy in one’s work.
    - Remaining with the organization; not actively seeking employment opportunities outside.
    - Performing one’s job to the highest standards; showing personal motivation.
    - Expressing pride in working for the organization, and/or refraining from non-specific non-constructive criticism of the organization.
    - Feeling a sense of mutual purpose between personal and organization goals (i.e., “alignment”); feeling a vested interest in the organization’s success, not just one’s own success.
    - Feeling that one’s personal and professional goals can be achieved in the organization.
- Why Employee Engagement Is Important
  - Improving the level of employee engagement is important. A large and growing body of research shows that employee engagement levels are linked to important organizational outcomes including employee retention, safety practices, attention to quality, customer service, and overall productivity and profitability. In fact, the research evidence suggests that higher levels of engagement can drive improvement on these outcomes.

# Key Drivers of Employee Engagement

## The Key Driver Analysis Process (continued)

- Step One: Defining an Index of Employee Engagement
  - An advanced statistical procedure called “Factor Analysis” is used to determine which questions best group together to form an “index” of employee engagement. An “index” can be thought of as just another category, but it is created based on statistical analysis rather than logically grouping questions together based on the common topic the questions share, which is the case with the 15 categories presented in other sections throughout this report. Across different organizations, Mercer has found that, according to organizational theory, questions that cover what might be considered “engaged behaviors or attitudes” often cluster together and can be used as an “index” measurement. These “engaged” behaviors/attitudes are described on the previous page. Based on Mercer’s analysis, the five questions that best form an engagement index for Caltrans are reported on the following page.
- Step Two: Determining Key Drivers of Employee Engagement
  - Once an engagement index is established, another advanced statistical procedure is applied to determine which other non-index questions in the survey have the strongest relationship with the engagement index. This procedure, called multiple regression analysis, produces a list of questions that best predict future outcomes for the index score.
  - The questions that result from the analysis are termed “key drivers” because as employee perceptions on these questions change, the engagement index is likely to change as well, and the direction of the change should be parallel. In other words, more favorable opinions on key driver questions should result in more favorable opinions on the engagement index, and vice-versa.
  - Current scores on key driver questions may be relatively favorable or unfavorable. Because of the strong relationship they have with the engagement index, action planning that addresses the behaviors and attitudes reflected in the driver questions should produce the best results in improving employee engagement.
  - In the case where a given key driver question is highly favorable, the goal should be to implement follow-up actions that will maintain it as a strength. In cases where a key driver question score is average or unfavorable, the goal should be to improve in that area with follow up action.

# Key Drivers of Employee Engagement

## Employee Engagement Index

- Step One: According to Mercer's factor analysis, the Employee Engagement Index at Caltrans is defined by the following five questions. The categories the questions belong to are identified in parentheses.

### Caltrans Employee Engagement Index Questions

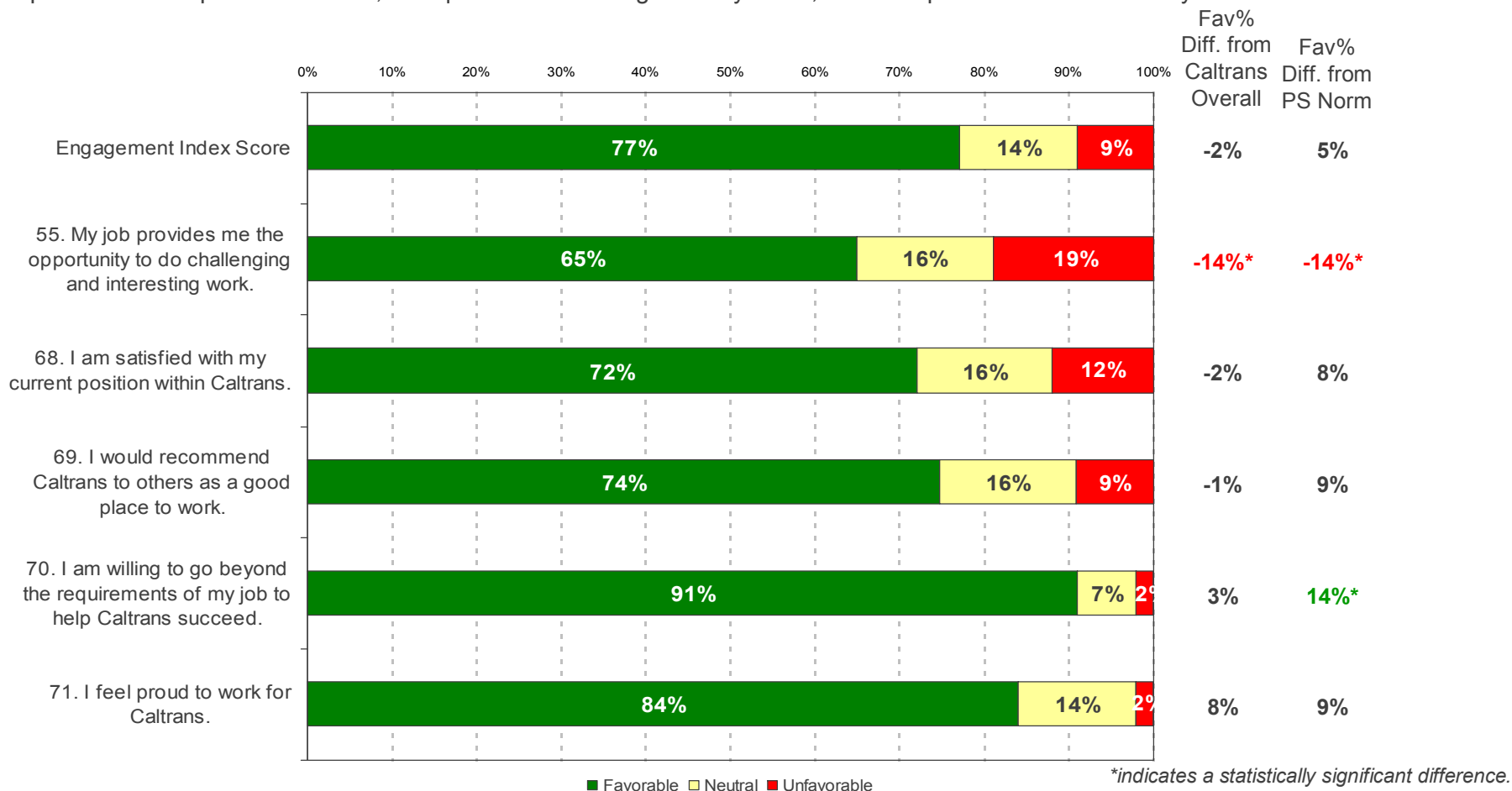
- 55. My job provides me the opportunity to do interesting and challenging work. ("The Job Itself")
- 68. I am satisfied with my current position within Caltrans. ("Engagement & Support for Success")
- 69. I would recommend Caltrans to others as a good place to work. ("Engagement & Support for Success")
- 70. I am willing to go beyond the requirements of my job to help Caltrans succeed. ("Engagement & Support for Success")
- 71. I feel proud to work for Caltrans. ("Engagement & Support for Success")

- Employees who hold more favorable opinions on some or all of these five questions are considered to be more highly engaged than those who hold unfavorable or neutral opinions on the questions.

# Key Drivers of Employee Engagement

## Engagement Index and Question Scores

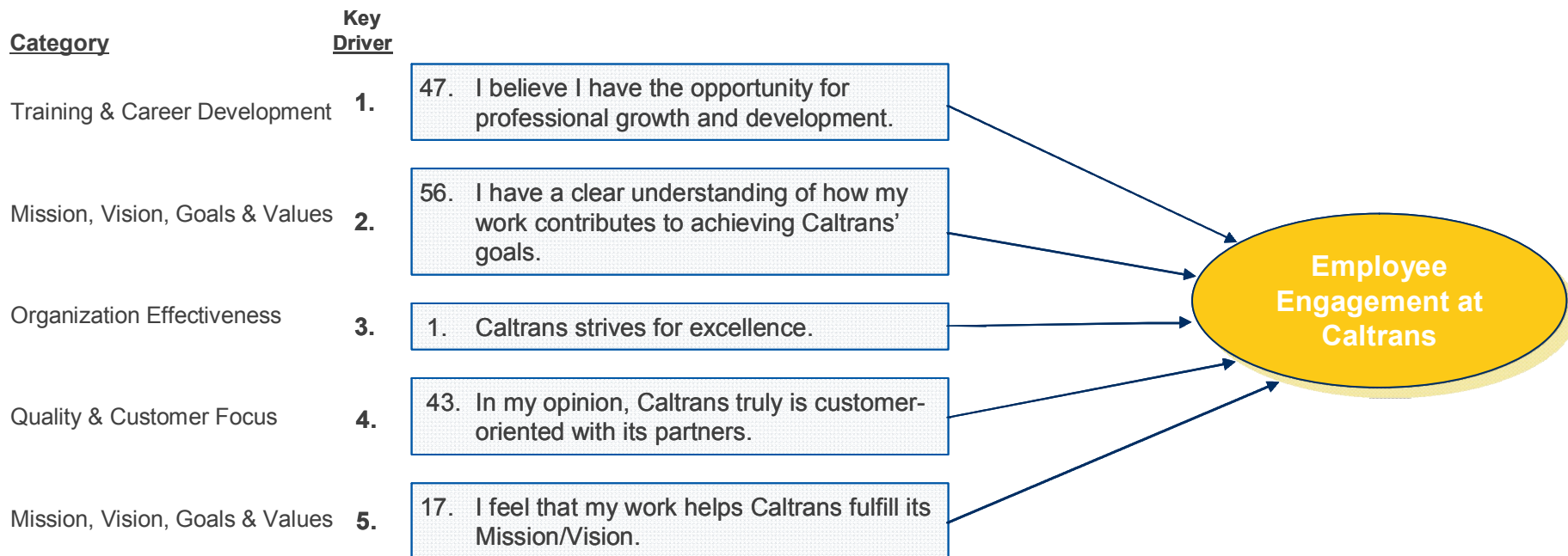
- The overall Engagement Index score for the District 72 Transportation Systems Information is 77 percent, which is statistically equivalent to the PS norm and the Department overall.
- One of the five questions that comprise the index scored significantly above norm, and one scored significantly below norm.
- Compared to the Department overall, one question scored significantly lower; all other questions are statistically the same.



# Key Drivers of Employee Engagement

## Key Driver Questions

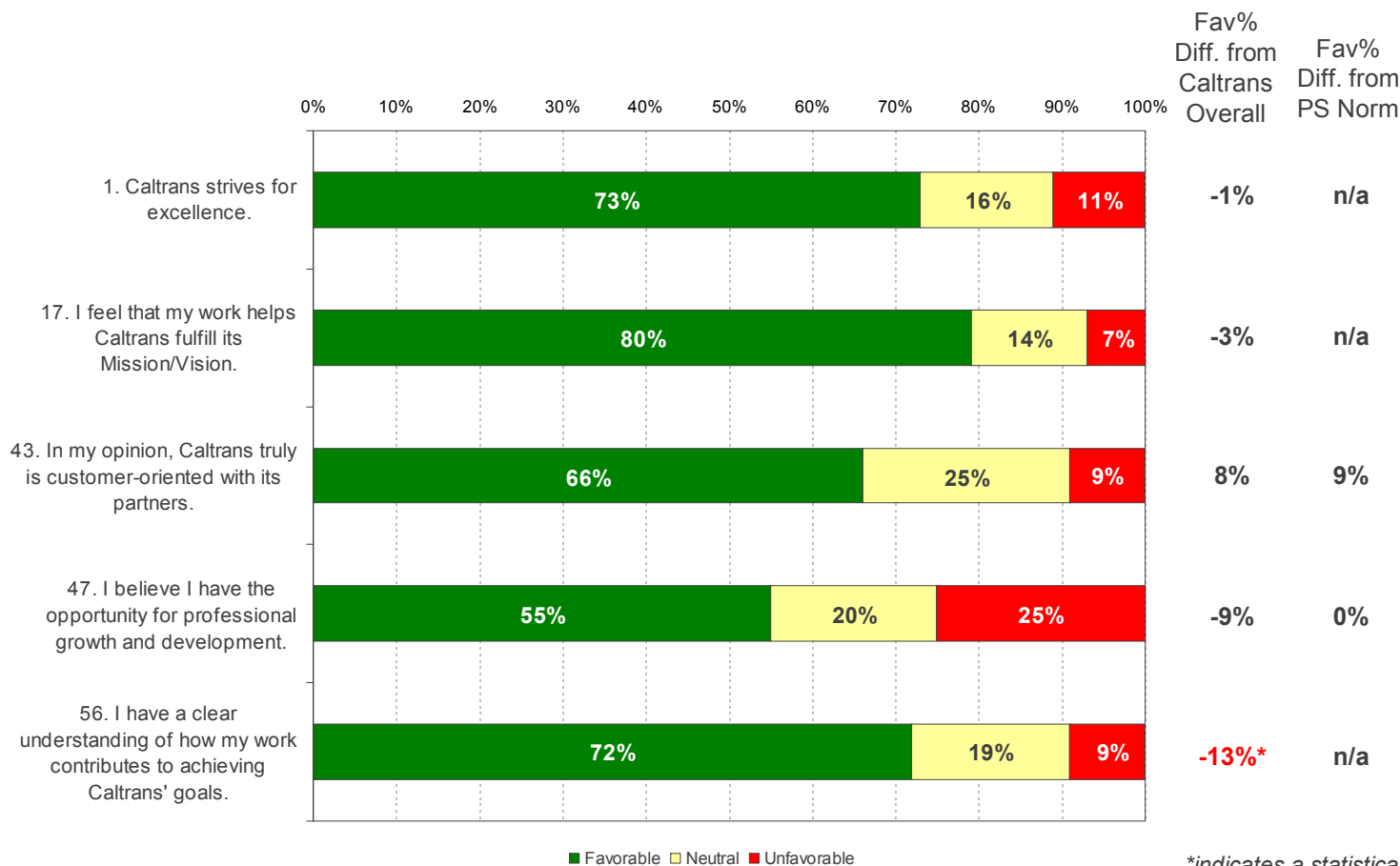
- Step two: The second stage of Key Driver Analysis uses a multiple regression statistical process to determine which other questions in the survey most “drive” outcomes on the Engagement Index score. In other words, if perceptions improve on the driver questions, employee engagement should also improve. Conversely, if perceptions on driver questions become less favorable, employee engagement should also decrease.
- Five questions surfaced as the most important drivers of engagement at Caltrans. Because of the relationship these questions have with improving or decreasing engagement, these questions should be carefully considered when prioritizing issues and potential action plans.
- Thinking about what these driver questions represent in terms of behavior and attitudes, Caltrans’ employees are most engaged when they believe they can grow and develop professionally (question 47), when they understand how they make a contribution to Caltrans’ goals and help fulfill the Mission and Vision (questions 56 and 17), and when they perceive that Caltrans treats its partners like customers and strives for excellence overall (questions 43 and 1).



# Key Drivers of Employee Engagement

## Key Driver Question Scores

- Scores on the driver questions have a fairly wide range from 55 percent to 80 percent favorable. Of these questions, two are comparable to the PS norm, and one is significantly lower than Department overall scores.
- How this analysis can be leveraged for developing action plans is discussed on the following page.



\*indicates a statistically significant difference.

## Key Drivers of Employee Engagement

### Key Driver Question Scores (continued)

- District 72 Transportation Systems Information may consider the following suggestions for how the key driver analysis can be leveraged to develop survey follow-up action plans:
  - Seek to maintain employee perceptions that Caltrans strives for excellence (question 1), as the favorable score is good and on par with the Department overall.
  - Seek to improve or maintain employee reactions to the organizational mission/vision and goals (questions 17 and 56); although the favorable scores are generally high, they are significantly below (question 56) and on par with (question 17) the Department overall.
  - Consider action plans that seek to improve opportunities for growth and development (question 47). Although the current score is on par with the benchmark for public sector employees, advancement opportunities or a lack thereof is a driver of voluntary turnover for many organizations. Further improvement could help retain employees, especially high performers and those with critical, hard to find skills.
  - Consider action plans that will improve perceptions on customer orientation, as one-quarter of District 72 employees expressed neutral views on this topic, with about two-thirds favorable.
- Because key driver questions have a special predictive relationship with the engagement index, many organizations seek to leverage it by designing and implementing action plans that will improve employee perceptions on topics these questions pertain to. In a sense, action planning in this manner is a way of placing “smarter bets” by designing and implementing follow-up actions that have a higher likelihood of a better “return on investment”, i.e., that will improve employee engagement the most.



# Open-Ended Responses

The following section describes the two open-ended (written comment) questions in the survey. Comments are listed in Appendix C, which is available as a separate report due to the volume of comments written.

## Open-Ended Responses

### Commentary on Comment Questions 76 and 77

- Respondents were given the opportunity to respond to two comment questions. For the first comment question (question 76), respondents chose a topic for their comment. The topic list was the same as the survey category names with the addition of “Other” as an option. The frequency of comments written about each topic by District 72 Transportation Systems Information employees is reported in the table on the following page.
- Question 77 asked: “What changes could be made in your work unit/office to streamline workload and/or reduce costs?” Respondents did not associate a topic with their comment for this question.
- The complete list of comments for both questions are listed in Appendix C. Comments are reported verbatim without editing, except for a few comments in which an inappropriate remark about a specific individual was made. In those cases, the individual’s name was deleted and the deletion was noted.
- Note, as a general rule written comments tend to reflect unfavorable rather than favorable sentiments. Comments can add “color” and depth to the numeric data, but they are anecdotal by definition because they represent a single person’s thoughts. Therefore, comments should be considered together with the quantitative survey results, and they should be given appropriate weight when prioritizing issues and making action plans to address them.

# Open-Ended Response Frequencies

## Employees' Labels for Their Survey Improvement Ideas in Question 76

- Question 76 (a) asked: "We would like to continue to improve this survey in the future. In a sentence or two please suggest a question or topic that was not asked in this survey but should have been." Question 76 (b) asked, "Reflecting on what you wrote [in answer to part (a)], which of the following best describes the topic of your comment?"
- Most frequently chosen topics were: "Other" and "Ability To Get The Job Done."

<b>76. Reflecting on what you wrote above, which of the following best describes the topic of your comment.</b>	
<b>Topic</b>	<b>Percentage</b>
Other	20%
Ability To Get The Job Done	14%
Treatment & Equity	11%
Organization Effectiveness	11%
Engagement & Support for Success	11%
Quality & Customer Service	9%
Cooperation & Teamwork	6%
The Job Itself	3%
Physical Working Conditions	3%
Mission/Vision, Goals, & Values	3%
Immediate Supervision	3%
Empowerment & Innovation	3%
District/Headquarters Management	3%
Training & Career Development	0%
Directorate & Executive Management	0%
About The Survey Process	0%
Total	100%



# Summary Recommendations and Next Steps

The following section provides a summary of Mercer's recommendations, examining strengths and challenges, as well as next steps.

# Summary Recommendations and Next Steps

## Summary Recommendations

- Caltrans' 2008 Internal Assessment provides a robust data set that will be studied further and used to help create follow up action plans that will seek to improve organizational effectiveness and alignment of people practices with strategic goals. Mercer's analysis suggests the following sorting of survey topical areas into "areas of strength," "areas of challenge" and areas of "mixed strengths and challenges." Important to note is that consideration for areas to address with follow up action plans should not be restricted only to areas of challenge, or areas with a mixture of strengths and challenges. It is just as important to ensure that the strengths of Caltrans are emphasized and maintained, especially in as much as these areas are critical to the success of the strategic plan moving forward.
- Also important to remember are questions that are key drivers of engagement for Caltrans' staff. The result of the statistical analysis is that these questions have the strongest relationship to how engaged employees are with their work and with the organization overall. Putting emphasis on these areas may yield the greatest improvement, and maintain strength where it already exists, in the various facets that make up the concept of engagement at Caltrans.
- Areas of Strength
  - "Physical Working Conditions" – this was the top-rated category, with 83 percent of District 72 Transportation Systems Information employees providing high marks, on average. Both safety-related questions surfaced in the top ten most favorable (both more than 90 percent favorable), with the safety of the work area rated significantly above Department overall levels.
  - "Mission/Vision, Goals, & Values" – another higher-rated category, with three-quarters favorable, ratings in this area were fairly wide in range (50 percent to 95 percent favorable. The clarity of organizational values was rated significantly above both normative and Department overall levels, while the lowest rated in the category, management acting in accordance with the values (50 percent favorable), was still directionally above the norm (12 percent above; not statistically significant). Although understanding how their work contributes to organizational goals was rated statistically below Caltrans overall levels, the rating was still high at 72 percent.
  - "Engagement & Support for Success" – four-fifths of Transportation Systems Information employees gave favorable marks to questions in this category, on average. Three of these questions surfaced in the top ten most favorable, and willingness to go beyond job requirements scored significantly above the PS norm. The Engagement Index was on par with both the PS norm and the Department overall.

# Summary Recommendations and Next Steps

## Summary Recommendations

### ■ Areas of Challenge

- “Ability to Get the Job Done” – approximately one in four District 72 Transportation Systems Information respondents are not satisfied with this category, on average across questions (54 percent favorable, on average). Availability of the information needed to do the job was rated significantly below normative levels (23 percent below), and the number of approvals required for routine decisions scored statistically below Caltrans overall.
- “Empowerment and Innovation” – this category scored lower than others, with only 44 percent favorability. Three out of the four questions made the top ten most unfavorable list, and all four received less than 50 percent favorability. This area clearly has room for improvement.
- “Treatment & Equity” – this category also scored lower than others (44 percent favorable), and nearly half of District 72 employees disagreed with the statement, “Poor performance usually is not tolerated in Caltrans.”
- “Organization Effectiveness” – there was a wide range of ratings in this category, across questions, ranging from 25 percent to 73 percent favorable, but the average of 52 percent favorable is fairly low. Particularly low ratings were provided for promoting qualified employees and attracting/retaining quality talent. Similarly, ratings from the “Training & Career Development” category regarding promotion were also fairly low, suggesting an increased focus on quality talent may improve the organization.
- “Immediate Supervision” – four of the ten questions in this category were rated significantly below the Department overall and headquarters districts overall scores.
- “Cooperation & Teamwork” – only 52 percent of District 72 employees gave positive marks to this category on average. Cooperation between the work units and other work units in the division or district, as well as efficiency of the work unit, were rated significantly below Department overall levels.
- “About the Survey Process” – approximately half of District 72 Transportation Systems Information respondents expressed uncertainty as to whether the last survey results were used constructively. It is more promising that the score for this current survey was higher, at 55 percent favorable (with 29 percent neutral, or uncertain), but this score is still considered low. A well-defined survey follow-up plan is always a potential “quick win.” In addition, as action areas are prioritized and action plans are implemented, additional “return on investment” from the survey can be realized by communicating changes to all employees and linking it to their feedback on the survey. In the following pages, we describe the process that Caltrans will use to prioritize and plan follow-up actions from the 2008 survey results.

# Summary Recommendations and Next Steps

## Summary Recommendations

- Mixed Strengths and Challenges
  - “The Job Itself” – District 72 Transportation Systems Information employees gave ratings of 70 percent favorable, on average, which is generally a high score. However, the question about the job providing interesting work was rated significantly below the PS norm, as well as significantly below internal peer groups – Caltrans, headquarters districts, and Planning & Modal Programs deputy area overall.
  - Management – ratings in the two categories “Directorate & Executive Management” and “District/Headquarters Management” were generally mediocre, though the directorate having a clear vision for the future and the second-level supervisor providing recognition for good work both scored significantly above the PS norm.

## Summary Recommendations and Next Steps

### Next Steps

- Mercer's framework for survey follow-up is embodied in the PACE model. We will utilize this framework to provide Caltrans staff with a pathway through the major steps required when survey results are used to guide action and change.



# Summary Recommendations and Next Steps

## Next Steps

- **Priorities:** Mercer recommends that managers focus on 2-4 priority issues for Action Planning, including quick wins to demonstrate responsiveness. Managers can take on too many issues and spread their action planning efforts too thinly to be successful.
- **Accountability:** Establishing clear accountability for action planning is essential. Too often, line-managers are unclear about exactly what is expected of them. They may believe that action will be taken at the corporate or district level only. The optimal approach is for corporate/district actions to be communicated quickly to demonstrate leadership and to enable local plans to be properly aligned.
- **Change:** With accountability established, it is important to support line-managers with action planning tools, methods and clarity regarding available resources. Once decisions and detailed action plans are devised it is important to keep employees informed on progress. This builds engagement by telling employees that their survey input has made a difference. Post-survey change can lose momentum if it is not kept on the agenda of management teams, with a commitment to reporting progress.
- **Evaluate:** Changes in employee views, opinions and behavior can be measured through a variety of human capital metrics. These should include future surveys and/or pulse surveys that specifically track reactions to change programs and survey action planning activities.

# Summary Recommendations and Next Steps

## Next Steps

- Using the results, conclusions, and recommendations stemming from the employee survey, Mercer will work with Caltrans to develop strategies for Department-wide and district-wide follow-up actions to address the survey findings.
- The overall process will include the following:
  - Prioritization Workshop
    - Senior leadership reviews results and sets course for Department-wide follow up priorities
  - Briefing Webinars
    - District heads briefed on workshop outcome, set course at district level
  - Action Planning Workshops
    - District representatives spearhead follow up actions
  - Topic-Focused Workgroups
    - District representatives share and compare survey follow-up ideas for “cross-pollination” Department-wide

## Summary Recommendations and Next Steps

### Prioritization Workshop

- Mercer's Prioritization Workshop constitutes the first step in formulating an action planning strategy for Caltrans and examining action priorities for the Department overall.
- Workshop attendees will include the Caltrans directorate and representatives of the survey steering committee.
- Two Mercer consultants will facilitate the half-day session focused on creating a framework for mapping the results of the employee survey to the goals and objectives of Caltrans, and creating an overall plan for use of the survey information at the Department and district levels.

# Summary Recommendations and Next Steps

## Prioritization Workshop

- The Prioritization Workshop will include making recommendations on the role of action planning within the organization, including:
  - Goals / expectations
  - Timing
  - Accountability
  - Support
  - Communication
- The workshop will also involve reviewing results and setting the course for Department-wide follow up priorities. Participants will:
  - Discuss reactions to the overall Caltrans data
  - Agree on top priority areas for action planning
    - Near term
    - Long term
  - Agree on the appropriate level for action planning
    - Caltrans overall
    - Local
  - Discuss which priority areas require the input of a larger group for action planning, and which ones do not
  - Create draft action plan(s) around one or two areas
  - Create specific next steps for action planning where group input is involved

# Summary Recommendations and Next Steps

## Prioritization Workshop

- Mercer will use the information from the Prioritization Workshop to document a draft follow-up action plan, with sign-off from the Caltrans Project Manager.
- Mercer will then present the draft action plan to the Caltrans directorate. The presentation will include a description of the proposed plan, objectives of the plan, success targets and measures, timeline for outcomes and personnel involved.
- As part of our presentation, Mercer will invite discussion and commentary from the directorate, and will offer our experiences, point of view, and best practices for consideration. The goal of this discussion would be to achieve a follow-up action plan with the highest likelihood of succeeding within the unique environment of Caltrans.
- Following the presentation and discussion to the directorate, Mercer will work with the Caltrans Project Manager to revise the follow-up action plan to reflect any changes agreed upon by the group.
- Feedback from the directorate will also be used to confirm roles for action planning within the organization, including:
  - Goals / expectations
  - Timing
  - Accountability
  - Support
  - Communication

# Summary Recommendations and Next Steps

## Manager Briefings

- Three 90-minute manager briefings will be conducted in person or via webinar to instruct managers who receive data tabulation reports on the basics of data tabulation report interpretation, analysis and the important steps managers should take after their review.
- Manager Briefings will devote time to:
  - An introduction to the survey process
    - Clarifying / discussing why Caltrans is doing the survey
    - Communication of expectations of them (feedback and action planning)
    - Discussion of support in place for action planning (workshops, topical action planning groups, communications, other support)
  - Understanding the data
    - How to read the survey results (using the Caltrans overall data)
    - An introduction of information from the prioritization workshop (Department-wide priority identified)
  - Next steps
    - Outline of the process and timeline going forward
    - Department-wide actions and local support required for success
    - Action planning workshops
    - Topical action planning groups
    - Discuss accountability

## Summary Recommendations and Next Steps

### Action Planning Workshop

- Two Mercer consultants will run five Action Planning Workshops, with approximately 12 participants each.
- The Action Planning Workshop attendees will include representatives from all districts (either the leaders of the district or another individual who will be responsible for spearheading survey follow-up actions or assisting the leader with executing survey follow-up actions).
- The Workshop will also include a toolkit that can be used as a stand-alone reference, with tools, techniques and practical guidance on understanding reports and using survey results.

# Summary Recommendations and Next Steps

## Action Planning Workshop

- The Action Planning Workshop will cover the following topics:
  - Data interpretation
    - Understanding your data
    - Translating your data into something meaningful to you
  - Communicating results
    - Connecting with your group
      - Communicating the highlights of the results
      - Discussing, clarifying, confirming
    - Identifying issues to tackle
  - Action planning
    - Regroup with your team and review
      - Tackle the actions that are appropriate for the group to work on
      - Delegate as appropriate
    - Create action plans for top priorities
  - Accountability and follow-through
    - Submit action plans to supervisors
    - Share best practices and learn from others
    - Measure progress, communicate, celebrate, and revise for success

## Summary Recommendations and Next Steps

### Topical Workshops

- Mercer will work with Caltrans to monitor the action planning activities taking place and identify where there might be synergies or opportunities for collaboration.
- For particularly very sensitive, highly common or “stubborn” problems, Mercer will convene a topic-focused working meeting among those sharing these common challenges.
- Mercer will facilitate three such topic-focused work group sessions with two Mercer consultants and up to 12 Caltrans participants each.
- In addition to designing, facilitating and providing training for such work groups, Mercer will, upon request, assist with the selection of participants. As a part of the working meetings, Mercer will facilitate the identification of, and agreement upon, attainable outcomes, internal and external resources to draw from, and ways to measure success and share best practices between districts and within the Department.

# Summary Recommendations and Next Steps

## Topical Workshops

- Topic-focused meetings will include the following:
- Pre-workshop data analysis by Mercer
  - A “deeper dive” by Mercer, prior to the meeting, into the quantitative and qualitative survey data to explore the topic further
  - A summary report on the results of Mercer’s in-depth analysis of the topic, including demographic differences and relationships to other aspects of the work environment (e.g., what other aspects of the work environment might be influencing or contributing to the issue at hand)
  - Submit report to senior leadership & get leadership’s thoughts / reaction
  - Select participants and submit report to participants as pre-workshop reading
- Communicating results
  - Communicating the highlights of the results, in-depth analyses and leadership’s point of view
  - Discussing, clarifying, confirming with participants
  - Group facilitation toward identification of the key issue(s) within the topic
- Action planning
  - Brainstorming solutions
  - Discussion of possible challenges or barriers to success, both local and Department-wide, and ways to address them
  - Generation of a draft action plan, including action steps, involvement of work group members, plans for involving others beyond the immediate work group, objectives and how progress and success will be measured, and timing
- Post-workshop documentation, approval and implementation
  - Discussion of process for submitting action plans to senior leadership for approval, sharing action plans with all leaders, sharing best practices and experiences with team members and learning from others, measuring progress, communicating, celebrating, and revising plans for success

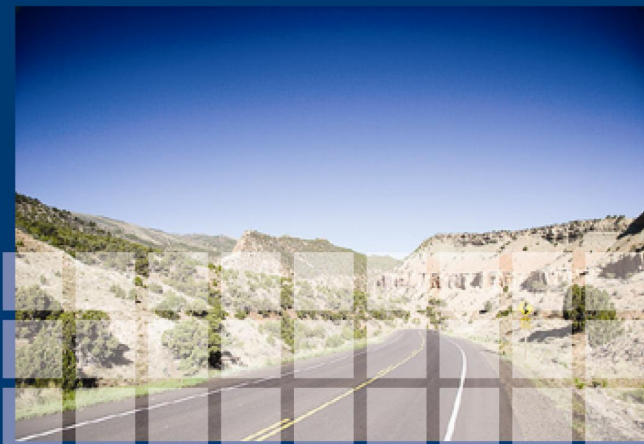
# Summary Recommendations and Next Steps

## Overview of the Action Planning Process

- The chart below shows an overview of the action planning process and steps.



# Appendix A Survey Instrument



# Survey Instrument (Pages 1 and 2)



CONFIDENTIAL

## 2008 Employee Survey

Survey conducted by:

**MERCER**



MARSH MERCER KROLL  
GUY CARPENTER OLIVER WYMAN



Your unique passcode is:

### Instructions

#### Welcome to Caltrans' 2008 Employee Survey.

- Your responses will be used by Caltrans to assess past survey follow-up actions and implement new ones.
- Your responses to this survey are **confidential**. Mercer, an independent consulting firm, is administering this survey and guarantees your confidentiality.
- No one at Caltrans will see or have access to your individual survey. Mercer alone issues unique passcodes and this code does not remain connected to you after you complete the survey.
- You will submit your completed survey directly to Mercer. Only statistical summaries of the data will be generated.

#### Completing the Survey

- The survey will take about 15-30 minutes to complete. You may use State time during work hours.
- Your response is important, so please provide your candid and honest opinions based on your experience working at Caltrans.
- Please answer all the questions as best you can. If you feel you do not have enough information to answer a question, or if it does not apply to you, please use the middle response option, "Neither Agree Nor Disagree".
- If you prefer to take the survey on-line, go to [www.mercerhcsurveys.com/uc/caltrans/](http://www.mercerhcsurveys.com/uc/caltrans/). To get access to the survey you will need to enter the unique passcode provided on the cover of this booklet. Note that you can participate in the survey only *once*, using either this booklet or by completing it on-line.
- Survey Format – Most questions in this survey are similar to the following example. Circle the response that most closely matches your view.

					Strongly Disagree
					Disagree
					Neither Agree Nor Disagree
					Agree
					Strongly Agree
I have a clear understanding of my work responsibilities.	1	2	3	4	5

In this example, the respondent "agrees" that he or she has a clear understanding of work responsibilities.

If you have questions regarding the details of the survey, please contact your local Caltrans survey coordinator. A list of coordinators is provided on the insert page.

# Survey Instrument (Pages 3 and 4)

## Definitions

Please review the following definitions. They will be helpful to keep in mind as you complete the survey:

- **"Caltrans"** refers to the Department as a whole.
- **"Directorate"** – See "Management."
- **"Management"** – Throughout the survey, we solicit your opinions about various groupings of Caltrans management. There is *intentional overlap* in the definitions of who belongs in which group. Please use the following as your definitions of the various references to the directorate and management.

Directorate (Definition to be used when you answer statement 21)	Executive Management (Definition to be used when you answer statement 22)	District / Division Management (Definition to be used when you answer statements 23 – 26)	Management (Definition to be used when you answer statements 1, 20, 14, 15)
<ul style="list-style-type: none"> <li>• Director</li> <li>• Chief Deputy Director</li> <li>• All Deputy Directors</li> </ul>	<ul style="list-style-type: none"> <li>• Director</li> <li>• Chief Deputy Director</li> <li>• All Deputy Directors</li> <li>• All District Directors</li> <li>• All Division Chiefs</li> <li>• All Deputy District Directors</li> </ul>	<ul style="list-style-type: none"> <li>• Your District Director *</li> <li>• Your Division Chief *</li> <li>• Your Deputy District Director **</li> <li>• All others in a management or supervisory role <i>except</i> for your immediate supervisor</li> </ul>	<ul style="list-style-type: none"> <li>• Director</li> <li>• Chief Deputy Director</li> <li>• All Deputy Directors</li> <li>• All District Directors</li> <li>• All Division Chiefs</li> <li>• All Deputy District Directors</li> <li>• All others in a management or supervisory role <i>except</i> for your immediate supervisor</li> </ul>
* One or the other, as applicable to you.    ** If applicable to you.			

- **"District Number"** This is the two-digit number that identifies your division, program, or geographic area. For example, Orange County is District 12, the Division of Engineering Services is District 59, and External Affairs is District 95. For District 22, Administrative Services, additional instructions are provided to identify the divisions within that area.
- **"Headquarters"** refers to those Caltrans functions exclusive of Districts 01 – 12.
- **"Partners"** refers to members of organizations (public-sector or private-sector) with whom we work to carry out common goals, e.g., federal agencies (Federal Highway Administration), local agencies (cities and counties), metropolitan planning organizations (Sacramento Area Council of Governments), regional transportation planning agencies (Transportation Agency for Monterey County), regulatory agencies (Department of Fish and Game), and contractors.
- **"Supervisor"** refers to the person you report to and work most closely with on a day-to-day basis.
- **"Second-Level Supervisor"** refer to the person one level above your immediate supervisor.
- **"Work Unit":**
  - ✓ **for individuals who ARE NOT supervisors or managers** – refers to your reporting unit (organizationally, the lowest identifiable grouping of employees who share a common first-level supervisor).
  - ✓ **for individuals who ARE supervisors or higher-level managers** – refers to the group of employees that you supervise or manage.

## Questionnaire

Please answer a few questions about where you work and your role in Caltrans.

- A. What is your source district – the district you work for (report to)?
- B. What is the district you work in (physical work location)?

Select one source district and one location district by marking the circles next to the appropriate choices. (For most employees, the two district numbers will be the same.)

REPORT WORK  
TO IN  
↓ ↓

- ☐ ☐ 01 Eureka
- ☐ ☐ 02 Redding
- ☐ ☐ 03 Marysville
- ☐ ☐ 04 Oakland
- ☐ ☐ 05 San Luis Obispo
- ☐ ☐ 06 Fresno

### Headquarters (includes districts 20 and higher)

- ☐ ☐ 20 Information Technology
- ☐ ☐ 22 Administrative Services (AS): General
- ☐ ☐ 22 AS: Business, Facilities, and Security
- ☐ ☐ 22 AS: Procurement and Contracts
- ☐ ☐ 22 AS: Human Resources
- ☐ ☐ 22 AS: Labor Relations
- ☐ ☐ 22 AS: Staff Development and Workforce Planning (formerly Division of Training)
- ☐ ☐ 32 Equipment
- ☐ ☐ 42 Legal
- ☐ ☐ 43 Environmental Analysis
- ☐ ☐ 44 Project Management
- ☐ ☐ 50 Local Assistance
- ☐ ☐ 51 Traffic Operations
- ☐ ☐ 52 Right of Way & Land Surveys
- ☐ ☐ 53 Design
- ☐ ☐ 54 Construction

REPORT WORK  
TO IN  
↓ ↓

- ☐ ☐ 07 Los Angeles
- ☐ ☐ 08 San Bernardino
- ☐ ☐ 09 Bishop
- ☐ ☐ 10 Stockton
- ☐ ☐ 11 San Diego
- ☐ ☐ 12 Irvine

### Headquarters (includes districts 20 and higher)

- ☐ ☐ 56 Maintenance
- ☐ ☐ 59 Engineering Services
- ☐ ☐ 63 Aeronautics
- ☐ ☐ 64 Mass Transportation
- ☐ ☐ 65 Research and Innovation
- ☐ ☐ 72 Transportation Systems Information
- ☐ ☐ 74 Transportation Planning
- ☐ ☐ 75 Rail
- ☐ ☐ 77 Audits and Investigations
- ☐ ☐ 79 Information Security and Operational Recovery
- ☐ ☐ 80 Transportation Programming
- ☐ ☐ 81 Accounting
- ☐ ☐ 82 Budgets
- ☐ ☐ 85 Director's Office
- ☐ ☐ 88 Civil Rights Program
- ☐ ☐ 95 External Affairs (including Legislative Affairs & Public Affairs)
- ☐ ☐ 00 Not Sure

# Survey Instrument (Pages 5 and 6)

(Continued) Please answer a few questions about where you work and your role in Caltrans.

C. What is your primary job function? (Please choose only one response by marking the circle next to the most appropriate choice.)

- ☐ **Office and support, and supervisors and managers for these functions**  
(e.g., clerical, secretarial, key data entry, toll collecting, janitorial, printing trades, etc. [includes collective bargaining units 4, 14, 15])
- ☐ **Maintenance, and supervisors and managers for these functions**  
(e.g., highway and landscape maintenance; buildings and grounds maintenance; equipment fabrication and repair; painters; building trades; etc. [includes collective bargaining units 12, 13])
- ☐ **Engineering or engineering related, and supervisors and managers for these functions**  
(e.g., civil, mechanical, electrical, traffic, project management, engineering technicians, drafting services, land surveys, architectural, etc. [includes collective bargaining units 9, 11])
- ☐ **Other professional, not engineering related, and supervisors and managers for these functions**  
(e.g., administration, planning, environmental, legal, research, right of way, information systems, accounting, auditing, librarian, etc. [includes collective bargaining units 1, 2, 7, 21])

D. What is your collective bargaining group? (Please choose only one response by marking the circle next to the most appropriate choice.)

- ☐ Rank and file [collective bargaining identifier code "R"]
- ☐ Supervisory [collective bargaining identifier code "S"]
- ☐ Managerial [collective bargaining identifier code "M"]
- ☐ Confidential [collective bargaining identifier code "C"]
- ☐ Excluded [collective bargaining identifier code "E"]
- ☐ Unassigned or not sure



**Our Mission & Vision**  
Caltrans improves mobility across California

Think about your experience at Caltrans overall. To what extent do you agree or disagree with each of these statements?

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
1. Caltrans strives for excellence.	1	2	3	4	5
2. Caltrans is committed to quality.	1	2	3	4	5
3. Caltrans is ethical as an organization.	1	2	3	4	5
4. Caltrans is an environmentally responsible organization.	1	2	3	4	5
5. Caltrans is innovative (e.g., seeks to develop and use new ideas, technologies, operating methods, etc).	1	2	3	4	5
6. Caltrans has an atmosphere where innovative ideas are encouraged without penalty for failure.	1	2	3	4	5
7. Caltrans management does a good job of defining and communicating appropriate levels of risk-taking as it relates to my work.	1	2	3	4	5
8. Employees are recognized for innovative work at Caltrans.	1	2	3	4	5
9. Caltrans <i>attracts</i> high quality employees.	1	2	3	4	5
10. Caltrans <i>retains</i> high quality employees.	1	2	3	4	5
11. Caltrans is highly regarded by the general public.	1	2	3	4	5
12. Caltrans' image has improved over the past two years.	1	2	3	4	5
13. Caltrans treats employees with respect, regardless of their position.	1	2	3	4	5
14. It is safe to speak up at Caltrans.	1	2	3	4	5
15. I feel encouraged to try new ideas and new ways of doing things to improve Caltrans.	1	2	3	4	5



**Our Goal is Safety**  
Provide the safest transportation system in the nation for users and workers.

# Survey Instrument (Pages 7 and 8)

Regarding Caltrans' Mission, Vision and Values, to what extent do you agree or disagree with the following statements?

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
16. I am familiar with the Caltrans Mission/Vision statement.	1	2	3	4	5
17. I feel that my work helps Caltrans fulfill its Mission/Vision.	1	2	3	4	5
18. Caltrans' Values are clear to me.	1	2	3	4	5
19. Caltrans' Values provide a meaningful framework for me to do my job.	1	2	3	4	5
20. Management's decisions and actions are consistent with the Caltrans Values.	1	2	3	4	5

The following two statements address leadership at Caltrans. Refer to the definitions as needed.

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
21. The Caltrans directorate has a clear vision for the future.	1	2	3	4	5
22. I trust and have confidence in Caltrans' executive management.	1	2	3	4	5



**Our Goal is Mobility**  
Maximize transportation system performance and accessibility.

The next four statements are about your division or district management.

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
23. Management in my division or district keeps employees informed about matters that affect us.	1	2	3	4	5
24. Management in my division or district is open and honest in communications to employees.	1	2	3	4	5
25. Management in my division or district is interested in the well-being of employees.	1	2	3	4	5
26. Management in my division or district makes decisions promptly.	1	2	3	4	5

Following are some statements about your supervisor, and one statement (#37) about your second-level supervisor (as defined next to the statement below).

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
27. My supervisor is available when needed.	1	2	3	4	5
28. My supervisor communicates effectively.	1	2	3	4	5
29. My supervisor provides me with clear feedback on a regular basis.	1	2	3	4	5
30. My supervisor provides me with recognition or praise for good work.	1	2	3	4	5
31. My supervisor does a good job of building teamwork.	1	2	3	4	5
32. My supervisor deals fairly with the members of my work unit in managing the group.	1	2	3	4	5
33. My supervisor works effectively with people of different genders, racial/ethnic backgrounds, lifestyles, etc.	1	2	3	4	5
34. My supervisor holds staff accountable for their performance.	1	2	3	4	5
35. I think my performance on the job is evaluated fairly.	1	2	3	4	5
36. My supervisor is responsive to suggestions from employees.	1	2	3	4	5
37. My second-level supervisor provides me with recognition or praise for good work. (Your "second-level supervisor" is the person one level above your supervisor).	1	2	3	4	5



**Our Goal is Delivery**  
Efficiently deliver quality transportation projects and services.

# Survey Instrument (Pages 9 and 10)

Tell us about your experience working with your work unit, with other Caltrans work units, partners, and the general public.

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
38. There is good cooperation and teamwork in my work unit.	1	2	3	4	5
39. There is good cooperation and teamwork between my work unit and other work units within my division or district.	1	2	3	4	5
40. There is good cooperation and teamwork between district units and headquarters units.	1	2	3	4	5
41. There is good cooperation and teamwork between Caltrans and its partners.	1	2	3	4	5
42. In serving each other, Caltrans employees provide good (timely, accurate, thorough, reliable) customer service.	1	2	3	4	5
43. In my opinion, Caltrans truly is customer-oriented with its partners.	1	2	3	4	5
44. My work unit gets feedback on how satisfied the general public, our partners, and other Caltrans employees are with the work we perform.	1	2	3	4	5

The next group of statements pertains to your views on training, career prospects and advancement at Caltrans, including job rotation assignments.

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
45. Caltrans provides enough training to maximize my skills for my current job.	1	2	3	4	5
46. My Caltrans training and development plan, in combination with the training that I have already received, adequately prepares me to do my job well.	1	2	3	4	5
47. I believe I have the opportunity for professional growth and development.	1	2	3	4	5
48. A job rotation assignment would improve my career advancement opportunities.	1	2	3	4	5
49. Caltrans provides a clear understanding of what it takes to be successful for future advancement in the organization.	1	2	3	4	5



**Our Goal is Stewardship**  
Preserve and enhance California's resources and assets.

(Continued) The next group of statements pertains to your views on training, career prospects and advancement at Caltrans, including job rotation assignments.

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
50. Poor performance usually is not tolerated in Caltrans.	1	2	3	4	5
51. Promotions are generally given to the most qualified employees.	1	2	3	4	5
52. I believe that at Caltrans, becoming a supervisor or manager (or supervisor or manager at a higher-level than I am already) is a desirable goal, in general.	1	2	3	4	5

53. If offered a job rotation assignment that **would not** require me to temporarily relocate, I would be most likely to accept that offer if:

(Select up to three choices from the list below)

- ☐ The nature of the work is interesting to me.
- ☐ The assignment would enhance my promotability to a higher position.
- ☐ The assignment would broaden my knowledge and experience.
- ☐ I would get to experience working with a different management team.
- ☐ I still would be able to work with some of my current management team.
- ☐ My daily commute time to the job rotation assignment would not be significantly greater than my current commute time.
- ☐ The ease of my daily commute to the job rotation assignment would be about the same as I have now (e.g., the type of transportation I can use).
- ☐ It would serve the greater good of Caltrans and the people of California.
- ☐ Other

54. If offered a job rotation assignment that **would** require me to temporarily relocate, I would be most likely to accept that offer if:

(Select up to three choices from the list below)

- ☐ The nature of the work is interesting to me.
- ☐ The assignment would enhance my promotability to a higher position.
- ☐ The assignment would broaden my current knowledge and experience.
- ☐ I would get to experience working with a different management team.
- ☐ I still would be able to work with some of my current management team.
- ☐ My daily commute time (from my temporary lodging) to the job rotation assignment would not be significantly greater than my current commute time.
- ☐ The ease of my daily commute (from my temporary lodging) to the job rotation assignment would be about the same as I have now (e.g., the type of transportation I can use).
- ☐ The amount of time I would be away from my family, friends, and current home would not be problematic.
- ☐ The allowable per diem reimbursement will be adequate to cover my costs.
- ☐ It would serve the greater good of Caltrans and the people of California.
- ☐ Other



**Our Goal is Service**  
Promote quality service through an excellent workforce.

# Survey Instrument (Pages 11 and 12)

Tell us more about your personal work experience at Caltrans.

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
55. My job provides me the opportunity to do challenging and interesting work.	1	2	3	4	5
56. I have a clear understanding of how my work contributes to achieving Caltrans' goals.	1	2	3	4	5
57. I have sufficient authority to make the decisions necessary to do my job well.	1	2	3	4	5
58. The number of approvals required for routine decisions is reasonable.	1	2	3	4	5
59. The information I need to do my job is readily available.	1	2	3	4	5
60. I am satisfied with the availability of the tools necessary to do my job.	1	2	3	4	5
61. Work usually is distributed fairly among employees in my work unit.	1	2	3	4	5
62. My work unit operates efficiently.	1	2	3	4	5
63. I am able to maintain a healthy balance between my work and my personal life.	1	2	3	4	5
64. Caltrans provides adequate safety training.	1	2	3	4	5
65. My work area is a safe place to work.	1	2	3	4	5
66. Overall, the physical working conditions at my location are satisfactory (e.g. ventilation, temperature, space to meet, space to work).	1	2	3	4	5



**We Value Integrity**  
We promote trust and accountability through our consistent and honest actions.

(Continued) Tell us more about your personal work experience at Caltrans.

67. From the list below, pick the changes that would best facilitate your ability to do the best job you can do for Caltrans.

(Select up to three choices from the list below)

- |  |   |
|--|---|
| <input type="checkbox"/> More job-specific training                  | <input type="checkbox"/> Better listening skills in coworkers     |
| <input type="checkbox"/> Easier access to needed tools and resources | <input type="checkbox"/> Better equipped/furnished facilities     |
| <input type="checkbox"/> More thorough information from management   | <input type="checkbox"/> More space in which to work              |
| <input type="checkbox"/> More accurate information from management   | <input type="checkbox"/> Improved policies or procedures          |
| <input type="checkbox"/> Faster decision making                      | <input type="checkbox"/> Increased supervisory support            |
| <input type="checkbox"/> Streamlined processes                       | <input type="checkbox"/> Increased support from higher management |
|  | <input type="checkbox"/> Other                                    |

In summary, how do you feel about working at Caltrans, about this survey, and how we can make it better next time?

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
68. I am satisfied with my current position within Caltrans.	1	2	3	4	5
69. I would recommend Caltrans to others as a good place to work.	1	2	3	4	5
70. I am willing to go beyond the requirements of my job to help Caltrans succeed.	1	2	3	4	5
71. I feel proud to work for Caltrans.	1	2	3	4	5



**We Value Commitment**  
We are dedicated to public service and strive for excellence and customer satisfaction.

# Survey Instrument (Pages 13 and 14)

(Continued) In summary, how do you feel about working at Caltrans, about this survey, and how we can make it better next time?

72. The top factors that have the most positive impact on my morale and desire to continue working at Caltrans are:

(Select up to three choices from the list below)

- ☐ Job security/stability of work
- ☐ My base pay
- ☐ My relationship with my immediate supervisor
- ☐ That Caltrans allows family-friendly work unit practices
- ☐ The Caltrans employees with whom I work
- ☐ The employment benefits, including retirement
- ☐ The opportunity for professional development and advancement
- ☐ The opportunity to help carry out Caltrans' mission and vision
- ☐ The quality of the work experience (e.g., challenging work)
- ☐ A feeling of contribution to the organization
- ☐ Involvement in decisions that affect my work
- ☐ The work environment
- ☐ The workload
- ☐ Other

73. At the present, I expect to continue working for Caltrans: (Choose the option that best describes you.)

- ☐ Less than 6 months
- ☐ 6 months but less than 1 year
- ☐ 1 year but less than 3 years
- ☐ 3 years but less than 5 years
- ☐ 5 years but less than 10 years
- ☐ 10 years but less than 20 years
- ☐ 20 years or more



**We Value Innovation**

We are empowered to seek creative solutions and take intelligent risks.

(Continued) In summary, how you feel about working at Caltrans, about this survey, and how we can make it better next time?

	Strongly Disagree				
	Disagree				
	Neither Agree Nor Disagree				
	Agree				
	Strongly Agree				
74. I think Caltrans management has used the results of the <u>last</u> survey constructively.	1	2	3	4	5
75. I think Caltrans management will use the results of this <u>current</u> survey constructively.	1	2	3	4	5

76a. We would like to continue to improve this survey in the future. In a sentence or two please suggest a question or topic that was not asked in this survey but should have been?

Please write your response in the space below. As with all of your survey responses, what you write is confidential and will be reported together with many other responses. However, note that what you write will be typed and reported just as you wrote it, with no editing.

76b. Reflecting on what you wrote above, which of the following best describes the topic of your comment? (Please choose only one topic.)

- ☐ Ability To Get The Job Done
- ☐ About The Survey Process
- ☐ Cooperation & Teamwork
- ☐ Directorate & Executive Management
- ☐ District/Headquarters Management
- ☐ Empowerment & Innovation
- ☐ Engagement & Support for Success
- ☐ Immediate Supervision
- ☐ Mission/Vision, Goals, & Values
- ☐ Organization Effectiveness
- ☐ Physical Working Conditions
- ☐ Quality & Customer Service
- ☐ The Job Itself
- ☐ Training & Career Development
- ☐ Treatment & Equity
- ☐ Other



**We are the Workplace of Choice**

We strive to hire and retain the best people and support them for success at Caltrans.

# Survey Instrument (Pages 15 and 16)

## Your final thoughts to improve Caltrans.

77. What changes could be made in your work unit/office to streamline workload and/or reduce costs?

Please write your response in the space below. Again, please note that what you write will be typed and reported just as you wrote it, with no editing.

The final few questions are about you. They will help Caltrans understand how different groups of employees view things. As with the rest of the survey, your responses are confidential.

### I. How long have you worked for Caltrans?

- ☐ Less than 1 year
- ☐ 1 year but less than 3 years
- ☐ 3 years but less than 5 years
- ☐ 5 years but less than 10 years
- ☐ 10 years but less than 20 years
- ☐ 20 years or more

### II. What is your employment status?

- ☐ Permanent full-time
- ☐ Permanent part-time
- ☐ Student assistant
- ☐ Other (includes permanent intermittent, retired annuitant, etc.)

### III. Please indicate where you are based (where you do most of your work).

- ☐ Office-based
- ☐ Field-based

### IV. What is your gender?

- ☐ Male
- ☐ Female

**This is the end of the survey. Thank you for your participation!**

**Completed surveys should be returned directly to Mercer in the postage-paid envelope provided. If for any reason you no longer have the envelope, the survey can be returned in any suitable envelope to the address below. Note that you will need to apply appropriate postage for first-class mail.**

**Mercer  
c/o www.sentenium.com  
Pleasant Hill Executive Park  
391 Taylor Blvd., Suite 110  
Pleasant Hill, CA 94523-9809**



# Appendix B All Questions by Category with Comparisons

# All Questions by Category

## 1. Ability to Get the Job Done

1. Ability to Get the Job Done	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
57. I have sufficient authority to make the decisions necessary to do my job well.	60%	12%	28%	-5%	-10%	-8%	-11%	43
58. The number of approvals required for routine decisions is reasonable.	42%	26%	33%	-13%	-20%*	-18%*	n/a	43
59. The information I need to do my job is readily available.	53%	23%	23%	-11%	-14%	-16%*	-23%*	43
60. I am satisfied with the availability of the tools necessary to do my job.	60%	21%	19%	-3%	-3%	-2%	-11%	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 2. About the Survey Process

2. About the Survey Process	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
74. I think Caltrans management has used the results of the last survey constructively.	33%	48%	19%	3%	0%	0%	5%	42
75. I think Caltrans management will use the results of this current survey constructively.	55%	29%	17%	12%	9%	11%	n/a	42

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 3. Cooperation & Teamwork

3. Cooperation & Teamwork	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
38. There is good cooperation and teamwork in my work unit.	64%	18%	18%	-9%	-11%	-12%	n/a	44
39. There is good cooperation and teamwork between my work unit and other work units within my division or district.	43%	20%	36%	-11%	-22%*	-23%*	-2%	44
40. There is good cooperation and teamwork between district units and headquarters units.	58%	28%	14%	11%	7%	10%	n/a	43
41. There is good cooperation and teamwork between Caltrans and its partners.	50%	43%	7%	-9%	-3%	-2%	n/a	44
62. My work unit operates efficiently.	47%	30%	23%	-13%	-19%*	-21%*	n/a	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 4. Directorate & Executive Management

4. Directorate & Executive Management	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
21. The Caltrans directorate has a clear vision for the future.	68%	20%	11%	9%	7%	12%	27%*	44
22. I trust and have confidence in Caltrans' executive management.	51%	35%	14%	6%	1%	6%	n/a	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 5. District/Headquarters Management

5. District / Headquarters Management	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
23. Management in my division or district keeps employees informed about matters that affect us.	64%	18%	18%	5%	2%	2%	12%	44
24. Management in my division or district is open and honest in communications to employees.	50%	23%	27%	-2%	-4%	-3%	14%	44
25. Management in my division or district is interested in the well-being of employees.	61%	20%	18%	6%	4%	5%	9%	44
26. Management in my division or district makes decisions promptly.	43%	25%	32%	9%	0%	1%	n/a	44
37. My second-level supervisor provides me with recognition or praise for good work.	55%	20%	25%	8%	5%	5%	28%*	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 6. Empowerment & Innovation

6. Empowerment & Innovation	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
6. Caltrans has an atmosphere where innovative ideas are encouraged without penalty for failure.	45%	30%	25%	1%	-5%	-3%	n/a	44
7. Caltrans management does a good job of defining and communicating appropriate levels of risk-taking as it relates to my work.	41%	27%	32%	5%	-5%	-6%	n/a	44
14. It is safe to speak up at Caltrans.	43%	20%	36%	5%	-1%	-1%	-10%	44
15. I feel encouraged to try new ideas and new ways of doing things to improve Caltrans.	45%	25%	30%	0%	-2%	0%	-11%	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 7. Engagement & Support for Success

7. Engagement & Support for Success	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
68. I am satisfied with my current position within Caltrans.	72%	16%	12%	3%	-2%	-2%	8%	43
69. I would recommend Caltrans to others as a good place to work.	74%	16%	9%	0%	-3%	-1%	9%	43
70. I am willing to go beyond the requirements of my job to help Caltrans succeed.	91%	7%	2%	0%	0%	3%	14%*	43
71. I feel proud to work for Caltrans.	84%	14%	2%	2%	5%	8%	9%	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

## All Questions by Category

### 7. Engagement & Support for Success (continued)

	% of Responses 72 Transportation Systems Information	% of Responses Planning & Modal Programs Overall	% of Responses Headquarters Districts Overall	% of Responses Caltrans Overall
<b>73. At the present, I expect to continue working for Caltrans</b>				
Less than 6 months	0%	4%	2%	2%
6 months but less than 1 year	2%	3%	3%	2%
1 year but less than 3 years	16%	18%	10%	9%
3 years but less than 5 years	21%	17%	13%	10%
5 years or more	60%	57%	71%	77%

*N = 43 in Transportation Systems Information*

*N = 304 in Planning & Modal Programs Overall*

*N = 4,496 in Headquarters Districts Overall*

*N = 16,263 in Caltrans Overall*

# All Questions by Category

## 8. Immediate Supervision

8. Immediate Supervision	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
27. My supervisor is available when needed.	68%	16%	16%	-12%	-14%*	-15%*	6%	44
28. My supervisor communicates effectively.	52%	25%	23%	-15%*	-22%*	-22%*	-9%	44
29. My supervisor provides me with clear feedback on a regular basis.	48%	25%	27%	-13%	-17%*	-20%*	-5%	44
30. My supervisor provides me with recognition or praise for good work.	59%	23%	18%	-10%	-8%	-9%	7%	44
31. My supervisor does a good job of building teamwork.	50%	25%	25%	-7%	-8%	-9%	6%	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 8. Immediate Supervision (continued)

8. Immediate Supervision	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
32. My supervisor deals fairly with the members of my work unit in managing the group.	55%	20%	25%	-10%	-13%	-13%	n/a	44
33. My supervisor works effectively with people of different genders, racial/ethnic backgrounds, lifestyles, etc.	75%	14%	11%	-4%	-5%	-3%	n/a	44
34. My supervisor holds staff accountable for their performance.	59%	20%	20%	-7%	-7%	-8%	n/a	44
35. I think my performance on the job is evaluated fairly.	52%	36%	11%	-14%	-20%*	-21%*	n/a	44
36. My supervisor is responsive to suggestions from employees.	65%	21%	14%	-5%	-5%	-6%	n/a	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 9. Mission/Vision, Goals, & Values

9. Mission/Vision, Goals, & Values	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
16. I am familiar with the Caltrans Mission/Vision statement.	95%	5%	0%	1%	4%	8%	n/a	44
17. I feel that my work helps Caltrans fulfill its Mission/Vision.	80%	14%	7%	-4%	-6%	-3%	n/a	44
18. Caltrans' Values are clear to me.	91%	5%	5%	12%	12%	15%*	29%*	44
19. Caltrans' Values provide a meaningful framework for me to do my job.	61%	30%	9%	-5%	-2%	-1%	10%	44
20. Management's decisions and actions are consistent with the Caltrans Values.	50%	23%	27%	9%	4%	5%	12%	44
56. I have a clear understanding of how my work contributes to achieving Caltrans' goals.	72%	19%	9%	-9%	-15%*	-13%*	n/a	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 10. Organization Effectiveness

10. Organization Effectiveness	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
1. Caltrans strives for excellence.	73%	16%	11%	-4%	-5%	-1%	n/a	44
3. Caltrans is ethical as an organization.	57%	25%	18%	-8%	-16%*	-13%	n/a	44
4. Caltrans is an environmentally responsible organization.	64%	27%	9%	-6%	-15%*	-17%*	n/a	44
5. Caltrans is innovative (e.g., seeks to develop and use new ideas, technologies, operating methods, etc).	61%	18%	20%	0%	-3%	2%	n/a	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 10. Organization Effectiveness (continued)

10. Organization Effectiveness	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
9. Caltrans attracts high quality employees.	45%	30%	25%	0%	3%	9%	n/a	44
10. Caltrans retains high quality employees.	30%	33%	37%	0%	-3%	0%	-2%	43
11. Caltrans is highly regarded by the general public.	57%	32%	11%	18%*	20%*	25%*	n/a	44
51. Promotions are generally given to the most qualified employees.	25%	27%	48%	1%	-4%	-2%	3%	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 10. Organization Effectiveness (continued)

67. From the list below, pick the changes that would best facilitate your ability to do the best job you can do for Caltrans (select up to three choices from the list below)	% of Responses 72 Transportation Systems Information	% of Responses Planning & Modal Programs Overall	% of Responses Headquarters Districts Overall	% of Responses Caltrans Overall
Faster decision making	41%	33%	26%	24%
Streamlined processes	41%	35%	35%	31%
Easier access to needed tools and resources	34%	21%	32%	35%
More job-specific training	25%	30%	39%	38%
Increased support from higher management	23%	33%	24%	23%
Improved policies or procedures	20%	20%	23%	22%
Better listening skills in coworkers	18%	9%	10%	13%
More accurate information from management	16%	18%	16%	16%
Increased supervisory support	16%	13%	12%	12%
More thorough information from management	14%	22%	19%	17%
Better equipped/furnished facilities	9%	21%	18%	19%
More space in which to work	5%	9%	10%	8%
Other	5%	10%	10%	11%

*N = 43 in Transportation Systems Information*

*N = 304 in Planning & Modal Programs Overall*

*N = 4,496 in Headquarters Districts Overall*

*N = 16,263 in Caltrans Overall*

*Responses total more than 100% because each respondent could make up to three choices from the list.*

# All Questions by Category

## 10. Organization Effectiveness (continued)

72. The top factors that have the most positive impact on my morale and desire to continue working at Caltrans are (select up to three choices from the list below)	% of Responses 72 Transportation Systems Information	% of Responses Planning & Modal Programs Overall	% of Responses Headquarters Districts Overall	% of Responses Caltrans Overall
Job security/stability of work	66%	60%	64%	69%
The employment benefits, including retirement	30%	40%	43%	47%
A feeling of contribution to the organization	30%	24%	18%	15%
The Caltrans employees with whom I work	25%	22%	23%	21%
The quality of the work experience (e.g., challenging work)	25%	26%	22%	17%
My relationship with my immediate supervisor	23%	31%	24%	22%
That Caltrans allows family-friendly work unit practices	23%	16%	14%	12%
The opportunity for professional development and advancement	23%	21%	23%	21%
My base pay	20%	19%	24%	25%
The opportunity to help carry out Caltrans' mission and vision	9%	9%	7%	8%
Involvement in decisions that affect my work	7%	8%	9%	8%
The workload	7%	3%	4%	4%
The work environment	5%	9%	13%	13%
Other	5%	4%	4%	5%

*N = 44 in Transportation Systems Information*

*N = 304 in Planning & Modal Programs Overall*

*N = 4,496 in Headquarters Districts Overall*

*N = 16,263 in Caltrans Overall*

*Responses total more than 100% because each respondent could make up to three choices from the list.*

# All Questions by Category

## 11. Physical Working Conditions

11. Physical Working Conditions	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
64. Caltrans provides adequate safety training.	91%	9%	0%	13%*	11%	10%	n/a	43
65. My work area is a safe place to work.	95%	5%	0%	18%*	11%*	16%*	n/a	43
66. Overall, the physical working conditions at my location are satisfactory (e.g. ventilation, temperature, space to meet, space to work).	63%	14%	23%	17%*	-4%	-9%	-4%	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 12. Quality & Customer Focus

12. Quality & Customer Focus	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
2. Caltrans is committed to quality.	59%	25%	16%	-12%	-15%*	-11%	-9%	44
12. Caltrans' image has improved over the past two years.	59%	30%	11%	2%	7%	10%	n/a	44
42. In serving each other, Caltrans employees provide good (timely, accurate, thorough, reliable) customer service.	57%	25%	18%	-2%	-7%	-6%	n/a	44
43. In my opinion, Caltrans truly is customer-oriented with its partners.	66%	25%	9%	6%	6%	8%	9%	44
44. My work unit gets feedback on how satisfied the general public, our partners, and other Caltrans employees are with the work we perform.	48%	34%	18%	-1%	4%	5%	n/a	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 13. The Job Itself

13. The Job Itself	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
55. My job provides me the opportunity to do challenging and interesting work.	65%	16%	19%	-15%*	-17%*	-14%*	-14%*	43
63. I am able to maintain a healthy balance between my work and my personal life.	74%	21%	5%	-1%	-5%	-4%	10%	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

# All Questions by Category

## 14. Training & Career Development

14. Training & Career Development	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
45. Caltrans provides enough training to maximize my skills for my current job.	61%	11%	27%	6%	4%	3%	2%	44
46. My Caltrans training and development plan, in combination with the training that I have already received, adequately prepares me to do my job well.	56%	28%	16%	3%	-2%	-6%	n/a	43
47. I believe I have the opportunity for professional growth and development.	55%	20%	25%	-6%	-7%	-9%	0%	44
48. A job rotation assignment would improve my career advancement opportunities.	55%	32%	14%	1%	-1%	0%	n/a	44
49. Caltrans provides a clear understanding of what it takes to be successful for future advancement in the organization.	34%	39%	27%	2%	-5%	-8%	n/a	44
52. I believe that at Caltrans, becoming a supervisor or manager (or supervisor or manager at a higher-level than I am already) is a desirable goal, in general.	41%	36%	23%	-10%	-14%	-14%	n/a	44

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*

## All Questions by Category

### 14. Training & Career Development (continued)

53. If offered a job rotation assignment that would not require me to temporarily relocate, I would be most likely to accept that offer if (select up to three choices from the list below)	% of Responses 72 Transportation Systems Information	% of Responses Planning & Modal Programs Overall	% of Responses Headquarters Districts Overall	% of Responses Caltrans Overall
The nature of the work is interesting to me.	80%	77%	76%	72%
The assignment would broaden my knowledge and experience.	66%	74%	74%	70%
The assignment would enhance my promotability to a higher position.	48%	49%	50%	46%
It would serve the greater good of Caltrans and the people of California.	23%	25%	22%	22%
The ease of my daily commute to the job rotation assignment would be about the same as I have now (e.g., the type of transportation I can use).	16%	19%	17%	16%
I would get to experience working with a different management team.	14%	12%	14%	14%
My daily commute time to the job rotation assignment would not be significantly greater than my current commute time.	9%	17%	21%	23%
I still would be able to work with some of my current management team.	5%	6%	7%	8%
Other	5%	5%	5%	7%

*N = 42 in Transportation Systems Information*

*N = 304 in Planning & Modal Programs Overall*

*N = 4,496 in Headquarters Districts Overall*

*N = 16,263 in Caltrans Overall*

*Responses total more than 100% because each respondent could make up to three choices from the list.*

## All Questions by Category

### 14. Training & Career Development (continued)

54. If offered a job rotation assignment that would require me to temporarily relocate, I would be most likely to accept that offer if (select up to three choices from the list below)	% of Responses 72 Transportation Systems Information	% of Responses Planning & Modal Programs Overall	% of Responses Headquarters Districts Overall	% of Responses Caltrans Overall
The nature of the work is interesting to me.	59%	54%	51%	49%
The assignment would enhance my promotability to a higher position.	41%	39%	40%	36%
The assignment would broaden my current knowledge and experience.	36%	45%	44%	42%
The allowable per diem reimbursement will be adequate to cover my costs.	32%	29%	34%	32%
The amount of time I would be away from my family, friends, and current home would not be problematic.	27%	37%	42%	40%
I would get to experience working with a different management team.	16%	8%	8%	9%
Other	16%	8%	9%	10%
My daily commute time (from my temporary lodging) to the job rotation assignment would not be significantly greater than my current commute time.	14%	15%	14%	15%
The ease of my daily commute (from my temporary lodging) to the job rotation assignment would be about the same as I have now (e.g., the type of transportation I can use).	7%	12%	12%	13%
It would serve the greater good of Caltrans and the people of California.	7%	14%	12%	13%
I still would be able to work with some of my current management team.	2%	3%	4%	4%

*N = 42 in Transportation Systems Information*

*N = 304 in Planning & Modal Programs Overall*

*N = 4,496 in Headquarters Districts Overall*

*N = 16,263 in Caltrans Overall*

*Responses total more than 100% because each respondent could make up to three choices from the list.*

# All Questions by Category

## 15. Treatment & Equity

15. Treatment & Equity	% Fav	% Neutral	% Unfav	% Diff. from Planning & Modal Programs Overall	% Diff. from Headquarters Districts Overall	% Diff. from Caltrans Overall	% Diff. from Norm	(N)
8. Employees are recognized for innovative work at Caltrans.	50%	25%	25%	7%	5%	7%	n/a	44
13. Caltrans treats employees with respect, regardless of their position.	43%	32%	25%	-6%	-14%	-12%	-11%	44
50. Poor performance usually is not tolerated in Caltrans.	35%	19%	47%	15%*	9%	10%	6%	43
61. Work usually is distributed fairly among employees in my work unit.	47%	33%	21%	-4%	-10%	-11%	n/a	43

*"% Diff. from" is the difference in percent favorable from the comparison group (e.g., from Norm)*

*"\*\*" indicates a statistically significant difference*

*"n/a" indicates data were not available*

*"Norm" refers to the Public Sector Norm*

*"(N)" refers to the number of respondents*



# Appendix C All Open-Ended Responses

Because of the large volume of comments written in response to questions 76 and 77, this appendix is available as a separate file.

The background of the title section is a horizontal collage of four images. From left to right: a woman wearing a yellow hard hat and an orange safety vest; a large suspension bridge spanning a body of water; two construction workers in high-visibility vests and hard hats working on a site; and a winding asphalt road through a desert landscape with hills in the background.

# Appendix D Comparison of US Overall and Public Sector Norms

## Comparison of US and Public Sector Norms

	Question	Public Sector Norm % Favorable	US Norm % Favorable
2	Caltrans is committed to quality.	68%	69%
10	Caltrans retains high quality employees.	32%	37%
13	Caltrans treats employees with respect, regardless of their position.	54%	58%
14	It is safe to speak up at Caltrans.	53%	57%
15	I feel encouraged to try new ideas and new ways of doing things to improve Caltrans.	56%	55%
18	Caltrans' Values are clear to me.	62%	62%
19	Caltrans' Values provide a meaningful framework for me to do my job.	51%	53%
20	Management's decisions and actions are consistent with the Caltrans Values.	38%	47%
21	The Caltrans directorate has a clear vision for the future.	41%	49%
23	Management in my division or district keeps employees informed about matters that affect us.	52%	53%
24	Management in my division or district is open and honest in communications to employees.	36%	40%
25	Management in my division or district is interested in the well-being of employees.	52%	54%
27	My supervisor is available when needed.	62%	57%
28	My supervisor communicates effectively.	61%	64%
29	My supervisor provides me with clear feedback on a regular basis.	53%	49%
30	My supervisor provides me with recognition or praise for good work.	52%	53%
31	My supervisor does a good job of building teamwork.	44%	46%
37	My second-level supervisor provides me with recognition or praise for good work.	27%	27%
39	There is good cooperation and teamwork between my work unit and other work units within my division or district.	45%	57%

## Comparison of US and Public Sector Norms

	Question	Public Sector Norm % Favorable	US Norm % Favorable
43	In my opinion, Caltrans truly is customer-oriented with its partners.	57%	68%
45	Caltrans provides enough training to maximize my skills for my current job.	59%	54%
47	I believe I have the opportunity for professional growth and development.	55%	49%
50	Poor performance usually is not tolerated in Caltrans.	29%	33%
51	Promotions are generally given to the most qualified employees.	22%	29%
55	My job provides me the opportunity to do challenging and interesting work.	79%	76%
57	I have sufficient authority to make the decisions necessary to do my job well.	71%	72%
59	The information I need to do my job is readily available.	76%	72%
60	I am satisfied with the availability of the tools necessary to do my job.	71%	70%
63	I am able to maintain a healthy balance between my work and my personal life.	64%	65%
66	Overall, the physical working conditions at my location are satisfactory (e.g. ventilation, temperature, space to meet, space to work).	67%	67%
68	I am satisfied with my current position within Caltrans.	64%	66%
69	I would recommend Caltrans to others as a good place to work.	65%	65%
70	I am willing to go beyond the requirements of my job to help Caltrans succeed.	77%	75%
71	I feel proud to work for Caltrans.	75%	71%
74	I think Caltrans management has used the results of the last survey constructively.	28%	38%

# MERCER



MARSH MERCER KROLL  
GUY CARPENTER OLIVER WYMAN